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INVENTOR(S)					
Given Name (first and middle [if any])	Family Name or Surname	Residence (City and either State or Foreign Country)			
Peter C. Guido Robert B.	Sercel Hunziker Lee	Pasadena, CA Altadena, CA Pasadena, CA			
<input type="checkbox"/> Additional inventors are being named on the ___ separately numbered sheets attached hereto					
TITLE OF THE INVENTION (280 characters max)					
FIBER-OPTIC WAVEGUIDES FOR EVANESCENT OPTICAL COUPLING AND METHODS OF FABRICATION AND USE THEREOF					
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Respectfully submitted,

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# FIBER-OPTIC WAVEGUIDES FOR EVANESCENT OPTICAL COUPLING AND METHODS OF FABRICATION AND USE THEREOF

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## FIELD OF THE INVENTION

The field of the present invention relates to optical fiber telecommunications and sensors. In particular, apparatus and methods are described herein for evanescent optical coupling of an optical fiber to a whispering-gallery-mode optical resonator or other optical waveguide and/or resonator.

## BACKGROUND

This application is related to subject matter disclosed in:

- A1. U.S. provisional Application No. 60/111,484 entitled "An all-fiber-optic modulator" filed 12/07/1998 in the names of Kerry J. Vahala and Amnon Yariv, said provisional application being hereby incorporated by reference in its entirety as if fully set forth herein;
- A2. U.S. Application No. 09/454,719 entitled "Resonant optical wave power control devices and methods" filed 12/07/1999 in the names of Kerry J. Vahala and Amnon Yariv, said application being hereby incorporated by reference in its entirety as if fully set forth herein;
- A3. U.S. provisional Application No. 60/108,358 entitled "Dual tapered fiber-microsphere coupler" filed 11/13/1998 in the names of Kerry J. Vahala and Ming Cai, said provisional application being hereby incorporated by reference in its entirety as if fully set forth herein;
- A4. U.S. Application No. 09/440,311 entitled "Resonator fiber bi-directional coupler" filed 11/12/1999 in the names of Kerry J. Vahala, Ming Cai, and Guido Hunziker, said application being hereby incorporated by reference in its entirety as if fully set forth herein; and

A5. U.S. provisional Application No. 60/183,499 entitled "Resonant optical power control devices and methods of fabrication thereof" filed 02/17/2000 in the names of Peter C. Sercel and Kerry J. Vahala, said provisional application being hereby incorporated by reference in its entirety as if fully set forth herein.

This application is also related to subject matter disclosed in the following seven publications, each of said seven publications being hereby incorporated by reference in its entirety as if fully set forth herein:

- P1. "Fiber-optic add-drop device based on a silica microsphere whispering gallery mode system", Ming Cai, Guido Hunziker, and Kerry Vahala, IEEE Photonics Technology Letters Vol 11 686 (1999);
- P2. "Phased-matched excitation of whispering gallery-mode resonances by a fiber taper", J. C. Knight, G. Cheung, F. Jacques, and T. A. Birks, Optics Letters Vol. 22 1129 (1997);
- P3. "Excitation of resonances of microspheres on an optical fiber", Serpenguzel, S. Arnold, and G. Griffel, Optics Letters Vol. 20, 654 (1995);
- P4. "Microlasers based on silica microspheres", F. Treussart, N. Dubreil, J. C. Knight, V. Sandoghar, J. Hare, V. Lefevre-Seguin, J. M. Raimond, and S. Haroche, Ann. Telecommun. Vol. 52, 557 (1997);
- P5. "Ultimate Q of optical microsphere resonators", M. L. Gorodetsky, A. A. Savchenkov, V. S. Ilchenko, Optics Letters, 21, 453 (1996);
- P6. "Observation of critical coupling in a fiber taper to a silica-microsphere whispering-gallery mode system", Ming Cai, Oskar Painter, and Kerry J. Vahala, Physical Review Letters Vol 85, 74 (2000); and
- P7. "Whispering-gallery mode microdisk lasers", S. L. McCall, A. F. J. Levi, R. E. Slusher, S. J. Pearton, and R. A. Logan, Applied Physics Letters Vol. 60, 289 (1992).

Optical fiber and propagation of high-speed optical pulses therethrough has become the technology of choice for high speed telecommunications. Wavelength division multiplexing (WDM) techniques are now commonly used to independently transmit a plurality of signals over a single optical fiber, each independent data stream being carried by a slightly different optical carrier wavelength. Signal carried by individual channels must be independently accessible for routing from a particular source to a particular destination. This has previously required complex and difficult-to-manufacture switching devices requiring extensive active alignment

1 procedures during fabrication/assembly, and as a result are expensive. Such devices may require  
2 conversion of the optical signals to electronic signals and back again, which can be power  
3 consuming and inefficient. In the patent applications cited above a new approach has been  
4 disclosed for controlling optical power transmitted through an optical fiber that relies on the use  
5 of resonant whispering-gallery-mode (hereinafter "WGM") optical resonators for direct optical  
6 coupling to an optical fiber, thereby enabling wavelength-specific modulation and/or routing of  
7 optical signals propagating through the optical fiber and the substantial elimination of  
8 conventional fiber coupling and/or packaging procedures. A thorough discussion of the features  
9 and advantages of such optical power control devices and techniques, as well as methods of  
10 fabrication, may be found in these applications, already incorporated by reference herein.

11 One of the modern design goals of fiber optic communications has been that, to the  
12 greatest extent feasible, components and/or devices should keep the light wave signal in optical  
13 fiber. This is based on the common sense observation that to couple light from a device into  
14 optical fiber or vice versa is expensive and typically introduces undesirable loss. Fiber Bragg  
15 filters and erbium fiber optical amplifiers are technologies that exemplify successful realizations  
16 of this goal. Other examples more directly relevant to this disclosure are optical power control  
17 devices, including all-fiber-optic modulators and/or all-fiber channel add-drop filters (described  
18 in the patent applications cited hereinabove and incorporated by reference herein). An important  
19 element of these latter devices is efficient coupling to whispering-gallery-mode optical  
20 resonators using a single-mode optical fiber in which a tapered section has been prepared as an  
21 evanescent optical coupling portion thereof. The taper is fabricated by heating a portion of the  
22 fiber in a flame while pulling the unheated fiber sections to either side of this portion in opposing  
23 directions to achieve a narrow (typically 1-5 microns) neck. Alternatively the fiber may be  
24 heated by other means such as a exposure to the emission from a CO<sub>2</sub> laser while pulling the  
25 unheated sections apart longitudinally. A WGM optical resonator structure such as a glass  
26 micro-sphere or micro-disk is then positioned near the fiber taper and evanescent optical  
27 coupling between the WGM resonator and the fiber taper waveguide results (through spatial  
28 overlap of an evanescent portion of the propagating optical mode extending outside the taper and  
29 an evanescent portion of a whispering-gallery optical mode extending beyond the WGM  
30 resonator). Alternatively the tapered optical fiber may be similarly coupled to whispering-  
31 gallery modes of fiber-ring resonators as described in U.S. provisional Application No.  
32 60/183,499 cited hereinabove. Since the tapered optical fiber and the WGM optical resonator

1 structure may be made of the same, or nearly the same, material, optical phase matching is  
2 facilitated, thereby enabling efficient optical coupling between a single propagating optical mode  
3 of the optical fiber taper waveguide and a whispering-gallery optical mode of the WGM optical  
4 resonator.

5 The use of tapered optical fiber as a waveguide member for optically coupling to a WGM  
6 optical resonator has several advantages over the conventional prism-coupling scheme for  
7 coupling to WGM resonators (as disclosed, for example, by Gorodetsky et al, cited  
8 hereinabove). These advantages include: 1) No sophisticated optical coupling assembly is  
9 required as input and output light is always guided and manipulated in optical fiber; 2) Insertion  
10 losses into/out of tapered single mode fiber can be extremely low and spectrally nearly uniform  
11 (for example, personnel at Aleph Lightgate have routinely demonstrated taper insertion losses as  
12 low as 0.1 dB); 3) The Vahala group at Caltech has shown that even when a silica WGM  
13 resonator structure such as a micro-sphere is in contact with a taper, the WGM resonator may  
14 exhibit a Q-factor in excess of  $10^6$ , thereby eliminating in certain cases the need for sophisticated  
15 sub-micron piezoelectric actuators; and 4) The system is inherently robust owing to its all fiber  
16 optic construction.

17 There are, however, several problems with the use of tapered optical fiber waveguides for  
18 optical coupling to WGM optical resonators (such as micro-spheres, micro-disks, micro-rings,  
19 and/or fiber rings) or to other optical waveguide and/or resonators. These include:

20 *A. Difficulty in producing polarization maintaining tapered fiber:*

21 It is difficult to prepare fiber-optic tapers using polarization-maintaining (PM) optical  
22 fiber. In many applications of optical power control devices in telecommunications or sensor  
23 applications, it is important to use PM fiber, since resonant whispering-gallery optical modes in  
24 spheres, disks, and rings are generally polarization dependent, as are optical modes of other  
25 optical waveguides and/or resonators. PM fiber is necessary to guarantee that optical power  
26 may be launched into the taper with a suitably specified polarization state, so as to couple to a  
27 particular whispering-gallery optical mode of the WGM resonator structure, for example. Such  
28 PM fiber, including standard bowtie or panda (shown in cross-section in Fig. 1) fiber designs, is  
29 fabricated with internal longitudinal stressor elements 105 surrounding the core 104, the stressor  
30 elements typically being composed of doped silicate glass (e.g., borosilicate glass) having  
31 mechanical properties and/or melting point substantially differing from the surrounding silica

1 cladding 106. Thus when the PM fiber 100 is heated and pulled, the stressor rods and the  
2 surrounding cladding material melt at different points and the tapered fiber structure produced  
3 has unacceptably high insertion loss (typically 20dB), arising from both structural irregularities  
4 in the tapered fiber (due to the inhomogeneous structure) and optical coupling from the guided  
5 fiber core optical mode into optical modes of the stressor rods themselves.

6 A possible solution to this problem of fabricating PM fiber tapers would be splicing a  
7 section of standard fiber (i.e., non-polarization-maintaining fiber, having a substantially  
8 homogeneous cladding layer with no stressor elements) into a length of PM fiber and pulling the  
9 tapered section in the standard fiber segment. Provided the spliced-in section is sufficiently short,  
10 an optical mode propagating through the tapered segment should experience minimal  
11 randomization of polarization. However, the two opposing sections of PM fiber must be  
12 rotationally aligned to high precision ( $1^\circ$  or better), which represents a significant manufacturing  
13 problem if the spliced-in standard fiber segment has any appreciable length (greater than about 1  
14 mm, for example).

15 *B. Difficulty in handling and assembling structures containing tapered fiber due to the fragility*  
16 *and flexibility of tapers:*

17 Tapered optical fibers, in order to be useful as evanescent optical coupling members for  
18 wavelength bands currently most relevant to fiber-optic telecommunications (about  $1.2\ \mu\text{m}$  to  
19 about  $1.7\ \mu\text{m}$ ), must be prepared with a taper diameter of about  $1\text{-}3\ \mu\text{m}$ , and are consequently  
20 extremely flexible. Thus for example, even when the non-tapered sections of a tapered fiber are  
21 placed coaxially in an alignment groove, the tapered section may sag or bow so that it is not  
22 positioned coaxially with respect to the non-tapered sections. This renders problematic the  
23 production of mechanically rigid, stable assemblies comprising micro-spheres, micro-rings,  
24 micro-disks, fiber rings, and/or other WGM resonator structures and the tapered optical fiber  
25 waveguide member. Also, by virtue of the small diameter, a tapered optical fiber is extremely  
26 fragile. It is therefore difficult to place, without breakage, the fiber taper within an alignment  
27 fixture such as a groove machined into a rigid substrate, as described for example in U.S.  
28 provisional Application No. 60/183,499 cited hereinabove.

29 For these reasons it may be considered preferable to use a "D"-shaped optical fiber as a  
30 waveguide coupling member instead of an optical fiber taper as shown in Fig.2. In such a D-  
31 fiber 200, the fiber has a D-shaped cross-section such that the fiber core 202 is sufficiently near

1 to the flat side of the "D" that an optical mode propagating along the fiber has an evanescent  
2 wave portion extending transversely beyond the flat side of the "D". Upon assembly of an  
3 optical power control device, the D-shaped transmission optical fiber and the WGM resonator  
4 structure 204 may each be positioned and secured in respective alignment grooves and so that the  
5 WGM resonator structure is in substantial tangential engagement (in mechanical contact, for  
6 example) with the flat portion of the "D". As described earlier in U.S. provisional Application  
7 No. 60/183,499, appropriate depths of the alignment grooves of a substrate, along with mating  
8 alignment structures on adjacent fiber segments and the resonator-alignment grooves may be  
9 employed to enable reproducible, reliable, and stable optical coupling of the WGM and the D-  
10 shaped transmission fiber without resort to complicated and/or labor-intensive active alignment  
11 procedures. Advantages of this approach are: 1) mechanical stability and ease of placement of  
12 the D-fiber coupling member; 2) D-fibers which are polarization maintaining are commercially  
13 available (e.g. from KVH Industries, Inc.).

14 There is however one significant disadvantage to the use of D-shaped fiber: it is difficult  
15 to achieve a low-loss, mechanically robust fusion splice between D-fiber and ordinary optical  
16 fiber of substantially circular cross-section, either PM or standard. This disadvantage translates  
17 into increased manufacturing costs and degraded performance (particularly insertion loss) of any  
18 device such as a modulator, add-drop filter, or sensor that is based on optical coupling between a  
19 WGM optical resonator structure and a D-fiber. One means for circumventing this difficulty is  
20 use of a standard fiber or PM fiber of circular cross-section and mechanically polishing a flat  
21 surface parallel to the fiber axis so as to achieve a D-shaped cross section over a finite length of  
22 the fiber. This means was disclosed in publications 3) and 4) cited hereinabove. While this  
23 technique has been shown to be effective in those publications (that is, effective in producing all-  
24 fiber members for coupling to WGM structures), it is not a practical manufacturing technique  
25 since the mechanical polishing necessary is laborious and difficult to control with precision (the  
26 distance between the fiber core and the flat of the "D" must be controlled to sub-micrometer  
27 precision in order to achieve reproducible controlled optical coupling between the waveguide  
28 and the WGM structure).

29 It is therefore desirable to provide a fiber-optic waveguide for evanescent coupling to  
30 a WGM optical resonator, and methods of fabrication and use thereof, wherein:

1       The fiber-optic waveguide is mechanically stable and robust, thereby enabling reliable,  
2 reproducible, and stable optical coupling between the fiber-optic waveguide and a WGM optical  
3 resonator and facilitating handling of the waveguide and fabrication and/or assembly of an  
4 optical power control device without excessively frequent breakage of the waveguide.

5       The fiber-optic waveguide may be readily and reproducibly manufactured, and readily  
6 and reproducibly incorporated into an optical power control device using substantially passive  
7 alignment techniques.

8       The fiber-optic waveguide may be readily and reproducibly inserted into polarization-  
9 maintaining optical fiber with relatively low insertion loss (less than about 3 dB) using standard  
10 optical-fiber splicing techniques.

11



## SUMMARY

Certain aspects of the present invention may overcome one or more aforementioned drawbacks of the previous art and/or advance the state-of-the-art of fiber-optic waveguides for evanescent coupling and optical power control devices, and in addition may meet one or more of the following objects:

To provide a fiber-optic waveguide for evanescent optical coupling;

To provide a fiber optic-waveguide for evanescent optical coupling to a whispering-gallery-mode optical resonator;

To provide a fiber-optic waveguide for evanescent optical coupling that is polarization-maintaining;

To provide a fiber-optic waveguide for evanescent optical coupling that may be readily and reproducibly inserted into polarization-maintaining optical fiber with relatively low insertion loss by standard fiber-optic splicing techniques;

To provide a fiber-optic waveguide for evanescent optical coupling that is sufficiently mechanically robust to enable reliable, reproducible, and stable evanescent optical coupling between the fiber-optic waveguide and a whispering-gallery-mode optical resonator;

To provide a fiber-optic waveguide for evanescent optical coupling that is sufficiently mechanically robust to resist or substantially prevent breakage during handling of the waveguide and/or incorporation of the waveguide into an optical power control device;

To provide a fiber-optic waveguide for evanescent optical coupling wherein a portion of the cladding layer of an evanescent waveguide fiber segment has been removed and the remaining cladding layer material is asymmetrically disposed about the core;

To provide a fiber-optic waveguide for evanescent optical coupling wherein cladding layer material is removed from the evanescent waveguide fiber segment by spatially-selective masking of the cladding layer and etching of the cladding material;

1 To provide methods for fabricating a fiber-optic waveguide wherein the shape of  
2 a coupling portion of the cladding layer surface of the evanescent waveguide portion is  
3 adapted to facilitate reliable, reproducible, and stable optical coupling between the  
4 waveguide and an optical waveguide and/or resonator;

5 To provide methods for fabricating a fiber-optic waveguide wherein the shape of  
6 a coupling portion of the cladding layer surface of the evanescent waveguide portion is  
7 adapted to facilitate reliable, reproducible, and stable optical coupling between the  
8 waveguide and a whispering-gallery-mode optical resonator;

9 To provide a fiber-optic waveguide for evanescent optical coupling adapted to  
10 enable reliable, reproducible, and stable optical coupling between the waveguide and a  
11 whispering-gallery-mode optical resonator by substantially passive alignment;

12 To provide a fiber-optic waveguide for evanescent optical coupling fabricated  
13 from polarization-maintaining optical fiber;

14 To provide a fiber-optic waveguide for evanescent optical coupling fabricated  
15 from polarization-maintaining optical fiber, wherein the stressor elements of the  
16 polarization-maintaining optical fiber extend transversely beyond the cladding layer  
17 surface, thereby providing passive alignment structures for enabling passive alignment of  
18 the waveguide with a whispering-gallery-mode optical resonator;

19 To provide methods for fabricating a fiber-optic waveguide for evanescent optical  
20 coupling that achieves one or more of the foregoing objects; and

21 To provide an optical power control device, and methods of fabrication and/or  
22 assembly thereof, incorporating a fiber-optic waveguide that achieves one or more of the  
23 foregoing objects.

24 One or more of the foregoing objects may be achieved in the present invention by a fiber-  
25 optic waveguide comprising: 1) an evanescent waveguide fiber segment; and 2) first and second  
26 longitudinally adjacent fiber segments joined to the ends of the evanescent waveguide fiber  
27 segment and having cores that form, with the core of the evanescent waveguide fiber segment, a  
28 substantially continuous core of the fiber-optic waveguide. The cladding layers of the adjacent  
29 fiber segments substantially surround the cores thereof and substantially transversely encompass  
30 an optical mode propagating through the fiber-optic waveguide. The cladding layer of the

1 evanescent waveguide fiber segment is asymmetrically disposed about at least a portion of the  
2 core thereof, thereby yielding a coupling portion of the cladding layer surface and enabling an  
3 evanescent portion of the propagating optical mode to extend transversely beyond at least a  
4 portion of the coupling portion of the cladding layer surface of the evanescent waveguide fiber  
5 segment. The fiber-optic waveguide may be incorporated into an optical power control device  
6 by tangentially engaging the coupling portion of the cladding layer surface of the evanescent  
7 waveguide fiber segment with a WGM optical resonator, thereby enabling control of optical  
8 power transmitted through the fiber-optic waveguide via modulation of WGM resonator  
9 properties and/or coupling thereto. The fiber-optic waveguide may be fabricated by  
10 circumferentially asymmetric removal of cladding material from the evanescent waveguide fiber  
11 segment. The cladding material may be removed by providing a mask for the adjacent fiber  
12 segments and a portion of the length and circumference of the evanescent waveguide fiber  
13 segment, and etching the cladding layer material.

14 Additional objects and advantages of the present invention may become apparent upon  
15 referring to the preferred and alternative embodiments of the present invention as illustrated in  
16 the drawings and described in the following written description and/or claims.

## BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 shows a transverse-sectional view of standard panda-type polarization-maintaining (PM) optical fiber.

Fig. 2 shows a D-shaped optical fiber (transverse section) in tangential contact with a fiber-ring WGM optical resonator.

Figs. 3A and 3B show side and top views, respectively, of a fiber-optic waveguide according to the present invention.

Figs. 3C and 3D show transverse-sectional views of an adjacent fiber segment and a waveguide fiber segment, respectively, of a fiber-optic waveguide according to the present invention.

Fig. 3E shows a longitudinal-sectional view of a fiber-optic waveguide according to the present invention.

Fig. 4A illustrates a method for fabricating a fiber-optic waveguide according to the present invention.

Figs 4B and 4C show transverse sectional views of an adjacent fiber segment and a waveguide fiber segment, respectively, of a coated optical fiber after laser machining but prior to etching, according to the method for fabrication shown in Fig. 4A.

Fig. 5 illustrates a method for fabricating a fiber-optic waveguide according to the present invention.

Figs. 6A and 6B show longitudinal- and transverse-sectional views, respectively, of a fiber-optic waveguide according to the present invention.

Figs. 7A and 7B show longitudinal- and transverse-sectional views, respectively, of a fiber-optic waveguide according to the present invention.

Figs. 8A and 8B show sectional views of a fiber-optic waveguide coupled to a fiber-ring WGM optical resonator according to the present invention.

Figs. 9A and 9B show sectional views of a fiber-optic waveguide coupled to a "thumbtack" WGM optical resonator according to the present invention.

1 Figs. 10A and 10B show longitudinal- and transverse-sectional views, respectively, of a  
2 fiber-optic waveguide according to the present invention.

3 Figs. 11A, 11B, and 11C show a fiber-optic waveguide having passive alignment  
4 structures and being coupled to a fiber-ring resonator according to the present invention.

5 Fig. 12 illustrates a method for coupling a fiber-ring WGM optical resonator and a fiber-  
6 optic waveguide on an alignment substrate according to the present invention.

7 Figs. 13A and 13B show sectional views of a fiber-ring WGM optical resonator coupled  
8 to a fiber-optic waveguide on an alignment substrate according to the present invention.

9 Figs. 14A and 14B show sectional views of a fiber-ring WGM optical resonator coupled  
10 to a fiber-optic waveguide and sealed within an alignment substrate according to the present  
11 invention.

12 Figs. 15A and 15B show sectional views of a fiber-ring WGM optical resonator coupled  
13 to two fiber-optic waveguides and sealed within an alignment device according to the present  
14 invention.

15 Figs. 16A, 16B, and 16C show sectional and top views of a micro-sphere WGM optical  
16 resonator coupled to a fiber-optic waveguide and sealed within an alignment substrate according  
17 to the present invention.

18 Fig. 17 illustrates a method for fabricating a fiber-optic waveguide according to the  
19 present invention.

20 It should be noted that the relative proportions of various structures shown in the Figures  
21 may be distorted to more clearly illustrate the present invention. In particular, the size  
22 differential and resonator thickness may be greatly exaggerated relative to the underlying optical  
23 fiber diameter in the Figures for clarity. Various metal, semiconductor, and/or other thin films  
24 and/or coatings are also shown having exaggerated thickness for clarity. The text and  
25 incorporated references should be relied on for the appropriate dimensions of structures shown  
26 herein.

## DETAILED DESCRIPTION OF PREFERRED AND ALTERNATIVE EMBODIMENTS

A waveguide optical fiber for transmitting an optical signal (alternatively, a propagating optical mode) to be controlled, modulated, and/or routed is provided with an evanescent waveguide fiber segment 302 between longitudinally adjacent fiber segments 312, as shown generally in Figs. 3A, 3B, 3C, 3D, and 3E. Each of the evanescent waveguide and adjacent fiber segments 302/312 comprises a core 304/314 and a cladding layer 306/316, with the respective cores forming a substantially continuous core of fiber-optic waveguide 300 and enabling propagation of an optical mode therethrough. The cladding layers 316 of the adjacent fiber segments 312 are sufficiently large to substantially transversely encompass the propagating optical mode within the cladding layers. The cladding layer 306 of the evanescent waveguide fiber segment 302 is asymmetrically disposed about the core 304 thereof and forms a coupling portion 308 of the cladding layer surface. An evanescent portion of the propagating optical mode extends transversely beyond the coupling portion 308 of the cladding layer surface of the evanescent waveguide segment 302, thereby enabling evanescent optical coupling to other optical devices/structures, as further described hereinbelow and in the patent applications cited and incorporated by reference hereinabove. The evanescent optical coupling thus achieved in turn enables control, modulation, and/or routing of the optical mode propagating through the fiber-optic waveguide 300. The asymmetric distribution of the cladding layer 306 about the core 304 of the evanescent waveguide fiber segment 302 may typically be achieved by spatially selective removal of cladding layer material from the evanescent waveguide fiber segment.

Single mode optical fiber, including polarization-maintaining (PM) optical fiber, is commonly available commercially having a diameter of about 80  $\mu\text{m}$  or about 125  $\mu\text{m}$  (higher refractive index core plus lower refractive index cladding, excluding any additional jacket material) and a core diameter on the order of about 5 to 10  $\mu\text{m}$ . PM fiber may also include longitudinally extending stressor elements disposed in substantially opposing positions about the core within the cladding layer as shown in Fig. 1. Other fiber cladding and core diameters suitable for transmitting the propagating optical mode may be used as well. Spatially-selective and circumferentially asymmetric removal of cladding layer material from an evanescent waveguide fiber segment of an optical fiber (PM or otherwise) yields a fiber-optic waveguide for evanescent optical coupling according to the present invention. Such material removal may

1 preferably be achieved by spatially-selective and circumferentially asymmetric etching of the  
2 cladding layer of the optical fiber.

3 A preferred method for removing cladding layer material from the evanescent waveguide  
4 fiber segment is illustrated generally in Figs. 4A, 4B, and 4C, and comprises the steps of: 1)  
5 providing the adjacent fiber segments 312 and a portion of the length and circumference of the  
6 evanescent waveguide fiber segment 302 with a mask (shown as stippled shading in Fig. 4A);  
7 and 2) spatially-selectively etching the exposed portions of the evanescent waveguide fiber  
8 segment 302, thereby yielding an asymmetrically disposed cladding layer 306 about the core 304  
9 and providing a coupling portion 308 of the cladding layer surface. The mask may be removed  
10 after etching. This procedure may be contrasted to the methods disclosed in prior provisional  
11 Application No. 60/183,499, cited hereinabove, wherein complete (360°) cylindrical rings are  
12 machined or otherwise provided in the optical fiber outer coating, resulting in substantially  
13 circumferentially symmetric removal of cladding layer material and fabrication of fiber rings.  
14 Many optical fibers are supplied with an outer coating comprising a polymer jacket (acrylate,  
15 polyimide, or the like), and this jacket may be used as a mask provided it adheres sufficiently to  
16 the optical fiber during etching. A preferred mask may comprise a carbon outer fiber coating.  
17 Optical fiber having a hermetic carbon outer coating (with or without a polymer jacket over the  
18 hermetic carbon coating) may be obtained commercially (Hermeticoat optical fiber, sold by  
19 Spectran Specialty Optics) or may be fabricated by deposition of a carbon layer on the fiber  
20 cladding (see for example U.S. Patent No. 5,281,247, said patent being hereby incorporated by  
21 reference in its entirety as if fully set forth herein). A carbon coating has been found to adhere  
22 well to the optical fiber during etching of the optical fiber. Alternatively, the optical fiber may  
23 be coated with photo-resist material as the outer fiber coating.

24 Whether the outer coating comprises a polymer jacket, a carbon film, or a photo-resist,  
25 the outer coating must be spatially patterned appropriately, thereby yielding a mask portion 319  
26 substantially covering the adjacent fiber segments 312 and a mask portion 309 covering the  
27 desired portions of the evanescent waveguide fiber segment 302 during etching. The mask may  
28 preferably be patterned by spatially selective laser machining or laser processing of the outer  
29 coating, removing the outer coating only from the desired portions of the length and  
30 circumference of the evanescent waveguide fiber segment. A polymer jacket outer coating may  
31 be laser machined using a UV-emitting excimer laser. A carbon film outer coating may be laser

1 machined using a pulsed laser (presumably ablatively) or with a substantially continuous laser  
2 (presumably thermally). A photo-resist outer coating may be patterned with a pulsed or  
3 continuous laser and processed to remove the outer coating. The techniques hereinafter  
4 disclosed may be referred to collectively as "cylindrical lithography" (such cylindrical  
5 lithography techniques are also disclosed in U.S. provisional Application No. 60/183,499, cited  
6 hereinabove). During laser machining to pattern the mask the optical fiber may be partially  
7 rotated about its long axis to produce a partial-ring-like mask pattern 309 on the fiber, extending  
8 less than 360° around the circumference of the evanescent waveguide fiber segment.

9 Alternatively, the optical fiber may be fully rotated at a substantially uniform angular velocity  
10 while the machining laser is modulated so as to remove the outer fiber coating from only a  
11 partial ring portion around the circumference of evanescent waveguide fiber segment 302,  
12 leaving mask pattern 309 extending only partially around fiber segment 302. The machining  
13 laser may be modulated in any suitable way, including as examples but not limited to: acousto-  
14 optic modulation, electro-optic modulation, mechanical shuttering, modulation of the machining  
15 laser pump source, photo-elastic modulation, functional equivalents thereof, and/or combinations  
16 thereof. The modulation of the machining laser may be timed to and/or synchronized with the  
17 rotation of the optical fiber in any suitable manner, including as examples but not limited to:  
18 direct mechanical coupling, optical-interrupts, electronic timing circuitry, functional equivalents  
19 thereof, and/or combinations thereof.

20 It should be particularly noted that the cylindrical lithography techniques as disclosed  
21 herein may be coupled with any suitable technique for rotational alignment of a polarization-  
22 maintaining (PM) optical fiber, so that partial-ring-like mask pattern 309 may be positioned on  
23 the surface of evanescent waveguide fiber segment 302 in a predetermined spatial relationship  
24 with respect to a polarization axis of the PM fiber. An example of such a rotational alignment  
25 technique is the POL technique (Polarization Observation by Lens effect tracing), although other  
26 techniques may be equivalently employed. After etching, coupling portion 308 of the surface of  
27 evanescent waveguide fiber segment 302 will also be positioned in a similarly predetermined  
28 spatial relationship with respect to the polarization axis of the PM fiber. This in turn insures that  
29 the polarization state of the propagating optical mode is well-defined and reproducible at the  
30 point in the fiber-optic waveguide where the evanescent coupling occurs. Any alignment  
31 feedback signal generated by the rotational alignment technique (such as the POL technique)



1 may also be employed as a timing/synchronization signal for modulation of the machining laser  
2 with respect to rotation of the optical fiber, as disclosed in the preceding paragraph.

3 The rotation of the optical fiber during laser machining should preferably be substantially  
4 concentric (thereby substantially minimizing any "orbital" motion of the fiber cross-section  
5 about the rotation axis, also referred to as centration error). This may preferably be achieved by  
6 using a capillary tube or fiber ferrule to align the fiber for rotation and laser machining.  
7 (Hereinafter, use of a capillary tube for fiber alignment as described herein shall be understood to  
8 equivalently encompass use of a fiber ferrule or other functionally equivalent structure). A  
9 capillary tube should be chosen having an inner diameter closely matching the optical fiber  
10 diameter, allowing the optical fiber to rotate within the capillary with little or no orbital motion.  
11 For example, the Hermeticoat fiber mentioned hereinabove has a nominal diameter of 125  $\mu\text{m}$ .  
12 Capillary tubing is commercially available (0.4  $\lambda$  supplied by Drummond Scientific, Inc.)  
13 having an inner diameter of  $126.4 \pm 0.3 \mu\text{m}$ , making it ideal for concentrically aligning and  
14 rotating the fiber during laser machining. This capillary or fiber ferrule alignment technique for  
15 substantially concentric rotation of the optical fiber may be employed during any other  
16 fabrication step requiring such partial or full rotation of the optical fiber, as set forth  
17 hereinbelow. Similar use of a capillary for substantially concentric rotation of an optical fiber  
18 during laser processing is described in a publication of Presby et al. (Applied Optics Vol 29,  
19 2692 (1990)), said publication being hereby incorporated by reference in its entirety as if fully  
20 set forth herein. While remaining within the scope of inventive concepts disclosed and/or  
21 claimed herein, any suitable means may be employed for substantially concentric rotation of the  
22 optical fiber during laser machining, including but not limited to a capillary tube, a fiber ferrule,  
23 an alignment chuck, an alignment jig, an indexed fiber holder, and so forth. Alternatively, a  
24 spindle (air-bearing or otherwise), stepper-motor-driven rotators, servo-motor-driven rotators,  
25 encoder, or other rotator may be equivalently employed for rotating the optical fiber during laser  
26 machining without a capillary, provided the rotation of the rotator is substantially concentric  
27 (i.e., little or no orbital motion of the rotator during rotation) and if the optical fiber can be  
28 mounted substantially concentrically with the rotation axis of the rotator.

29 A preferred method and apparatus are shown generally in Fig. 5 for precisely machining  
30 partial rings in a hermetic carbon mask material, wherein the carbon coated fiber may be  
31 threaded through a first capillary tube 408 (the alignment capillary). Similar methods and

1 apparatus may equivalently be employed for other optical fiber outer coatings (polymers, photo-  
2 resists, and so forth). A relatively long segment of the carbon coated fiber 402 (as long as  
3 several inches or more) may extend from the first end of the capillary 408, and is coupled to a  
4 rotation device 400. The rotation device must produce controlled, substantially uniform rotary  
5 motion of the fiber with minimal thrust error. (The term "thrust error" refers to any unwanted  
6 longitudinal motion that may accompany the desired rotary motion.) The thrust error results in a  
7 tilt of the machined partial ring with respect to a plane perpendicular to the fiber axis (an effect  
8 which may be used to intentionally produce tilted partial rings, if desired). A prototype system  
9 has been successfully constructed using a precision drill press as rotation device 400 (Cameron  
10 Micro Drill) with the carbon coated fiber 402 cemented within a second capillary tube 404 and  
11 the second capillary tube held within the chuck 406 of the drill press. Without departing from  
12 inventive concepts disclosed and/or claimed herein, other devices may be equivalently employed  
13 to produce the desired rotary motion, including but not limited to spindles, air-bearing spindles,  
14 rotation stages, stepper-motor-driven rotators, servo-motor-driven rotators, encoders, and the  
15 like. An air-bearing spindle may be preferred as having the smallest achievable thrust error  
16 currently available commercially. For producing partial rings by partial rotation of the optical  
17 fiber, such alternative rotation devices may be preferred over the drill press. As the drill press or  
18 other rotary device rotates the carbon-coated fiber, the fiber rotates within the first capillary tube  
19 408 with low centration error. As long as both fiber and alignment capillary are substantially  
20 uncontaminated, this rotation of the fiber within the capillary will not damage the carbon coating.  
21 If desired, it may be possible to drive air or other gas through the capillary around the rotating  
22 fiber to serve as an air-bearing. The alignment fiber is substantially rigidly mounted in a  
23 standard fiber chuck or other similar device 409, and a relatively short segment of the carbon-  
24 coated fiber 402 extends beyond the second end of the alignment capillary 408. A microscope  
25 objective 410 (60X in the prototype; others may be used as appropriate) for delivering a laser  
26 beam for laser machining may be mounted on a precision 3-axis translator 412 for precise  
27 positioning relative to the carbon-coated fiber.

28 A laser beam 414 from a continuous laser (typically between about 10 mW and about 100  
29 mW average power from a multi-line visible argon ion laser, mainly at about 488 nm and about  
30 514 nm, or a continuous frequency-doubled neodymium-based laser, between about 527 nm and  
31 about 532 nm; other laser types, wavelengths, and power levels may be equivalently utilized) is  
32 brought to a spot size between about 0.3  $\mu\text{m}$  and about 3  $\mu\text{m}$ , preferably between about 1  $\mu\text{m}$  and

1 about 2  $\mu\text{m}$ , by the objective 410 onto the surface of the fiber 402 as it rotates, thereby removing  
2 the carbon coating from the fiber (presumably by a thermal mechanism). A beamsplitter 416 in  
3 the laser beam path allows back-scattered and/or back-reflected laser light from the fiber to be  
4 imaged at 418 in order to adjust the focus of the laser beam sufficiently precisely relative to the  
5 surface of the fiber. The laser beam need not necessarily be focused at the surface of the fiber  
6 (although it could be, if desired). Use of a microscope objective or other high numerical aperture  
7 (NA) focusing element is important for several reasons. The highly convergent beam enables the  
8 machining of partial rings in the hermetic carbon coating as small as 0.3 to 3  $\mu\text{m}$  wide with  
9 sufficiently sharp, well-defined edges, which in turn reduces the roughness of the edges of the  
10 coupler portion of the cladding layer surface of the evanescent waveguide fiber segment  
11 produced by subsequent etching. A small spot size requires more partial rings to be machined to  
12 span a given length of the optical fiber outer coating. A large spot results in an insufficiently  
13 well-defined machined edge. Preferably, the largest spot that nevertheless yields a sufficiently  
14 well-defined machined edge may be used. A tight focus on the machined surface of the fiber  
15 also insures that the laser beam transmitted through the fiber will be sufficiently defocused when  
16 it reaches the opposite surface of the fiber so that none of the coating will be removed from the  
17 opposing surface, which would degrade the precision of the edges of the machined partial rings  
18 and the angular extent of the partial rings. The centration error of the carbon-coated fiber within  
19 the capillary tube is typically sub-micron, well within the depth-of-focus of the tightly focused  
20 laser beam (typically a few microns). It has also been observed that microscopic defects may  
21 occur in the portions of the carbon coating left behind by after laser machining, resulting in  
22 unwanted etched spots on the evanescent waveguide fiber segment and adjacent fiber segments  
23 and degradation of the performance of the resulting fiber-optic waveguide. It is speculated that  
24 hot ejecta from the laser machining may land on adjacent areas (where machining is not desired)  
25 and damage the carbon coating. It has been observed that flowing gas ( $\text{O}_2$ ,  $\text{N}_2$ , and ambient air  
26 have been used successfully, although  $\text{O}_2$  may be preferable) around the fiber as it is machined  
27 seems to substantially eliminate this problem.

28 It should be noted that a microscope objective may not be required for sufficiently precise  
29 machining of partial rings in the carbon coating. In general, if the optical fiber is substantially  
30 transparent to the wavelength used for machining the carbon coating (or other fiber outer  
31 coating), then the beam must be highly convergent (with an objective or similar optical assembly  
32 having an NA greater than about 0.3, preferably around one) so that the transmitted beam is too

1 large to damage the fiber outer coating on the opposite side of the fiber. However, if the fiber is  
2 not transparent to the laser-machining wavelength (157 nm from an F<sub>2</sub> excimer laser, for  
3 example, or if the fiber is a hollow fiber filled with material non-transparent at the laser-  
4 machining wavelength, or if the fiber is doped to render it non-transparent at the laser-machining  
5 wavelength), then damage to the opposite side of the fiber is no longer an issue, and the optical  
6 assemblies having longer working distances (i.e., smaller NA) may be employed. This is a  
7 general principle that may be applicable to other laser-machining steps set forth hereinbelow.  
8 Any laser source suitable for laser machining (known in the art or hereafter developed) may be  
9 employed while remaining within the scope of inventive concepts disclosed and/or claimed  
10 herein, for any laser machining step disclosed herein.

11 Alternatively, a suitable partial-ring etch mask may be provided for the evanescent  
12 waveguide segment by spatially-selective deposition of an outer fiber coating (i.e., mask  
13 material) on the adjacent fiber segment and desired portions of the evanescent waveguide  
14 segment, leaving partial (less than 360°) rings of cladding layer surface exposed. Masks may be  
15 provided in this way by spatially-selective deposition of an outer fiber coating, which may  
16 preferably comprise a metal coating or other suitable coating material. Shadow masking  
17 techniques may be employed to achieve spatially-selective deposition of mask material, or the  
18 fiber may be positioned within a groove on a substrate prior to deposition of the mask material.

19 For silica or silicate-based optical fibers, aqueous hydrofluoric acid (HF) is an effective  
20 etching agent for spatially-selective removal of material from the desired portions of the length  
21 and circumference of the evanescent waveguide fiber segment of the fiber-optic waveguide after  
22 providing a suitable mask. The amount of material removed can be precisely controlled by  
23 controlling the etching time, etchant concentration and/or pH, and/or temperature. The etched  
24 surfaces are substantially smooth and substantially free of irregularities, thereby minimizing  
25 optical scatter from the etched surfaces of the fiber-optic waveguide. The concentration of HF  
26 used to etch the optical fiber may be between about 5% and about 50% HF buffered with NH<sub>4</sub>F,  
27 should preferably be between about 7% and about 8% HF and between about 30% and about  
28 40% NH<sub>4</sub>F, and most preferably about 7.2% HF and 36% NH<sub>4</sub>F. The most preferred  
29 concentration yields an etch rate of about 80 nm/min, and is available commercially (Transene  
30 Company, Inc.). Another suitable HF concentration is 1 part 40% HF(aq) combined with 10  
31 parts 40% NH<sub>4</sub>F(aq), as disclosed in the publication of Eisenstein et al. (Applied Optics 21 3470

(1981), said publication being incorporated by reference in its entirety as if fully set forth herein. Any of these disclosed concentrations may be employed during any other fabrication step requiring an HF etch, as set forth hereinbelow. While remaining within the scope of inventive concepts disclosed and/or claimed herein, any suitable wet or chemical etching agent (either known in the art or hereafter developed) may be used to reduce the diameter of the adjacent fiber segments or other portions of the fiber. Alternatively, dry or reactive ion etching procedures, employing suitable etch masks (metal masks or polymer masks, for example), may be used to reduce the diameter of the adjacent fiber segments or other portions of the fiber. After etching, the mask may be removed by any of a variety of methods, including but not limited to non-spatially-selective laser machining, chemical/solvent removal, thermal removal (i.e., burning), exposure to an electrical discharge, plasma ashing, ion sputtering, and other suitable methods for removing the mask (known in the art or hereafter developed).

It should be noted that as the etching process proceeds radially inward from the laser-machined partial rings (i.e., the "un-masked" portion of the surface of the evanescent waveguide fiber segment 302), transverse edges of the evanescent waveguide fiber segment become exposed to the etchant and come under attack. The resulting coupling portion 308 of the cladding layer surface of the evanescent waveguide fiber segment 302 therefore often acquires a saddle-like shape, having a concave longitudinal-sectional shape (Fig. 3E) near at least a portion of the core 304 of the evanescent waveguide fiber segment 302 and a convex transverse-sectional profile (Fig. 3D) near at least a portion of the core 304 of the evanescent waveguide fiber segment 302. The precise shapes and radii-of-curvature of these (not necessarily circularly arcuate) sectional profiles may be controlled by the size (width and circumferential extent) and/or shape of the outer fiber coating (mask material 309/319) removed during the mask-providing step, and by controlling the etching time, etchant concentration and/or pH, and/or temperature. For example, a wider partial ring of removed mask material would result in a more shallow longitudinal section (larger concave radius of curvature). A partial ring of removed mask material having a larger circumferential extent would yield a sharper transverse section (smaller convex radius of curvature). For a given combination of optical fiber type/material and etchant, some experimentation is required to correlate mask size/shape, etching time and/or conditions, and the details of the shape of the resulting coupling portion 308 of the surface of the cladding layer 306 of the evanescent waveguide fiber segment 302. Once these correlations are

1 established, they may be used to reliably and reproducibly produce fiber-optic waveguides  
2 according to the present invention.

3 By reducing the circumferential extent of the "unmasked" portion of the surface of  
4 evanescent waveguide fiber segment 302, the convex transverse sectional profile of coupling  
5 portion 308 may be made less sharply curved, or even substantially flat (Figs. 6A and 6B). This  
6 may offer the advantages of D-shaped fiber as disclosed hereinabove, without the attendant  
7 difficulties of splicing D-shaped optical fiber to standard, substantially circular-cross-sectioned  
8 single-mode optical fiber (PM or otherwise). Further reducing the circumferential extent of the  
9 "unmasked" portion of the evanescent waveguide fiber segment (for example resulting in  
10 essentially a longitudinal slit-like "unmasked" portion of the surface of evanescent waveguide  
11 fiber segment 302) may result (after etching) in coupling portion 308 of the cladding layer  
12 surface acquiring a scooped, or pit-like, shape having concave profiles in both longitudinal and  
13 transverse sections (Figs. 7A and 7B).

14 Another method for tailoring the shape of coupling portion 308 comprises machining of  
15 multiple partial rings on evanescent waveguide fiber segment 302, leaving an intervening ring of  
16 outer fiber coating material between each pair of adjacent partial rings (Fig. 17). The intervening  
17 rings are sufficiently narrow so that upon etching of the cladding layer 306, the multiple etched  
18 surfaces (each resulting from one of the machined partial rings) coalesce into a single coupling  
19 portion 308 of evanescent waveguide fiber segment 302. Coupling portion 308 may initially be  
20 rough, but further etching after the partial rings coalesce results in a substantially smooth  
21 cladding layer surface. By tailoring the number, widths, spacings, and circumferential extents of  
22 each of the multiple partial rings (independently; they need not all be the same), virtually any  
23 desired shape for coupling portion 308 may be achieved. For a given combination of optical  
24 fiber type/material and etchant, some experimentation is required to correlate the number,  
25 widths, spacings, and circumferential extents of each of the multiple partial rings, etching time  
26 and/or conditions, and the details of the shape of the resulting coupling portion 308 of the surface  
27 of the cladding layer 306 of the evanescent waveguide fiber segment 302. Once these  
28 correlations are established, they may be used to reliably and reproducibly produce fiber-optic  
29 waveguides according to the present invention.

30 The fiber-optic waveguide thus fabricated is more robust than a fiber taper. The cladding  
31 layer remaining on the evanescent waveguide fiber segment transversely opposite the coupling

1 portion of the cladding layer surface may be several tens of microns thick, in contrast to the 1-5  
2  $\mu\text{m}$  total thickness of a typical fiber taper. The overall length of the coupling portion may be as  
3 small as about a hundred microns long, whereas a typical tapered segment of an optical fiber  
4 taper may be substantially longer, and therefore less mechanically stable, rigid, and/or robust.  
5 The fiber-optic waveguide according to the present invention is therefore a substantially sturdier  
6 structure, able to withstand manipulation without excessive breakage and to maintain alignment  
7 once secured to an alignment structure. Furthermore, fiber tapers are often capable of supporting  
8 many different propagating optical modes, complicating the use of such fiber tapers for coupling  
9 to single whispering-gallery optical modes of a WGM optical resonator. A fiber-optic  
10 waveguide fabricated according to the present invention, however, typically retains the single-  
11 mode characteristics of the fiber from which it was fabricated. Fiber-optic waveguides according  
12 to the present invention may be fabricated from polarization-maintaining (PM) optical fiber,  
13 thereby enabling polarization-specific propagation of an optical mode through the waveguide as  
14 well as polarization-specific evanescent coupling to the WGM optical resonator.

15 A saddle-like shape of the coupling surface of the evanescent waveguide fiber segment  
16 may be tailored to facilitate subsequent use of the fiber-optic waveguide for evanescent optical  
17 coupling to a whispering-gallery-mode optical resonator, as illustrated in Figs. 8A and 8B. For  
18 example, such WGM resonators can take the form of fiber-rings (as disclosed in provisional  
19 Application No. 60/183,499, cited hereinabove), micro-spheres, micro-disks (including  
20 structures such as a "thumbtack" fabricated on a substrate, wafer, or chip; described in earlier-  
21 cited publication P7 and disclosed in U.S. Patent No. 5,343,490, said patent being hereby  
22 incorporated by reference as if fully set forth herein), and/or micro-rings (including structures  
23 such as a "ring mesa" fabricated on a substrate, wafer, or chip) which must be brought into  
24 substantial tangential engagement with the coupling portion of the surface of the cladding layer  
25 of the evanescent waveguide fiber segment. The concave radius of curvature of the longitudinal-  
26 sectional shape of saddle-shaped coupling portion 308 of the cladding layer surface should  
27 preferably be at least about as large as the radius of the WGM optical resonator 602, thereby  
28 enabling reliable, reproducible, and stable optical coupling between a whispering-gallery optical  
29 mode of the resonator 602 and the propagating optical mode in the evanescent waveguide fiber  
30 segment 302. The concave radius of curvature of the longitudinal-sectional shape may also  
31 determine the degree of evanescent optical coupling between the propagating optical mode in the  
32 fiber-optic waveguide 302 and the whispering-gallery optical mode of the WGM optical

1 resonator 602. Reliable, reproducible, and stable evanescent optical coupling between the fiber-  
2 optic waveguide and a WGM resonator may be further enabled by the transverse-sectional shape  
3 of the coupling portion 308 of the cladding layer 306. In particular, for a fiber-ring WGM  
4 optical resonator as disclosed in Application No. 60/183,499 (cited and incorporated by reference  
5 hereinabove), a substantially flat or convex transverse sectional profile for coupling portion 308  
6 is necessary (Figs. 8A and 8B). For a micro-sphere WGM optical resonator, however, a concave  
7 transverse sectional profile for coupling portion 308 may be more suitable for enabling reliable,  
8 stable, and reproducible evanescent optical coupling. For a "thumbtack" micro-disk WGM  
9 resonator fabricated on a substrate, a longitudinally elongated coupling portion 308 having both  
10 transverse and longitudinal sectional profiles convex may be most suitable for enabling reliable,  
11 stable, and reproducible evanescent optical coupling (Figs. 9A and 9B). It should be noted that  
12 whatever methods/techniques may be employed for asymmetric removal of cladding layer  
13 material from the evanescent waveguide fiber segment (disclosed herein or otherwise), the shape  
14 of the resulting coupling portion of the cladding surface may be controlled in the manner and for  
15 the purposes as stated hereinabove.

16 In order to achieve evanescent optical coupling between the fiber-optic waveguide 300  
17 and a WGM optical resonator 602, at least a portion of the core 304 of the evanescent waveguide  
18 fiber segment 302 must be sufficiently near the coupling portion 308 of the surface of the  
19 cladding layer 306 thereof, thereby enabling an evanescent portion of the propagating optical  
20 mode to extend transversely beyond the coupling portion 308 of the cladding layer surface. The  
21 thickness of cladding layer material remaining between the core 304 and the coupling portion  
22 308 of the cladding layer surface may preferably be between about 0  $\mu\text{m}$  (exposed core) and  
23 about 10  $\mu\text{m}$ , although the thickness may be as large as about 30  $\mu\text{m}$ . Since the doped core of  
24 many optical fibers etches more slowly than the cladding layer, the coupling portion 308 of the  
25 cladding layer surface may be etched away leaving a protruding "ridge" waveguide comprising  
26 the exposed core 304, as shown in Figs. 10A and 10B. As with the shape of the coupling portion  
27 308 of the cladding layer surface, experimentation may be required to establish correlations  
28 between mask size/shape, etching time and/or conditions, and the resulting thickness of cladding  
29 layer material 306 remaining over the core 304 for a given combination of optical fiber  
30 type/material and etchant. Once these correlations are established, they may be used to reliably  
31 and reproducibly produce fiber-optic waveguides according to the present invention.



1        Another technique for controlling the removal of cladding layer material comprises the  
2        step of monitoring the optical loss of the fiber-optic waveguide 300 as cladding material 306 is  
3        removed. As the coupling portion 308 of the cladding layer surface moves closer to the core 304  
4        of the evanescent waveguide fiber segment 302, optical loss from the cladding layer surface  
5        increases, thereby decreasing the throughput of the fiber-optic waveguide 300. By terminating  
6        the etching step in response to the optical loss reaching some pre-determined level, the coupling  
7        portion 308 of the cladding layer surface may reproducibly be brought to within a specified  
8        distance of the core 304. Target levels for the optical loss of the fiber-optic waveguide range  
9        between about 0.1 dB and about 30 dB, preferably between about 0.1 dB and about 10 dB, and  
10       most preferably between about 0.1 dB and about 3 dB. Experimentation may be required to  
11       establish correlations between measured optical loss and the corresponding thickness of cladding  
12       layer material remaining over the core. The ranges for the pre-determined loss level may be  
13       measured with the fiber-optic waveguide is immersed in the etchant, or removed from the  
14       etchant (with or without being cleaned and/or dried).

15       In order to more readily achieve and maintain reliable, reproducible, and stable optical  
16       coupling between a WGM optical resonator 602 (particularly a fiber-ring WGM optical resonator  
17       as disclosed in provisional Application No. 60/183,499, cited hereinabove) and a fiber-optic-  
18       waveguide 300 according to the present invention, the fiber-optic waveguide 300 may be  
19       fabricated from polarization-maintaining (PM) optical fiber. Panda-type PM optical fiber (Fig.  
20       1) may preferably be used to fabricate a fiber-optic waveguide using mask-and-etch methods  
21       according to the present invention. The stressor elements of the PM fiber, like the core,  
22       generally etch at a slower rate than the surrounding cladding layer material. After masking and  
23       etching according to the techniques disclosed herein, longitudinally extending passive alignment  
24       structures 305 result which extend transversely from the coupling portion 308 of the cladding  
25       layer surface of the evanescent waveguide fiber segment 302 (Fig. 11A). These passive  
26       alignment structures 305 are positioned in a predetermined spatial relationship with respect to the  
27       polarization axis of the PM optical-fiber as disclosed hereinabove, and may therefore be  
28       particularly well-suited for achieving and maintaining reliable, reproducible, stable, and  
29       polarization-specific optical coupling between the fiber-optic waveguide 300 and a fiber-ring  
30       WGM optical resonator 602, as shown in Figs. 11B and 11C and disclosed in provisional  
31       Application No. 60/183,499 (cited hereinabove). The fiber-ring WGM resonator 602 may be  
32       provided with suitable mating mechanical indexing structures 606 on adjacent fiber segments

604 for further facilitating reliable, reproducible, and stable optical coupling (Fig. 11B). Contact between alignment structures 305 and fiber-ring 602 may affect the performance of the embodiment of Fig. 11C.

Without departing from inventive concepts disclosed and/or claimed herein, any suitable methods or techniques (currently extant or hereafter developed) may be employed for asymmetric removal of cladding layer material from the evanescent waveguide fiber segment. Such removal of cladding material may be performed subject to constraints, requirements, and controls as described elsewhere herein. Such methods or techniques may include but are not limited to: masking/etching; wet etching; chemical etching; plasma etching; dry etching; ion beam lithography; direct laser machining of cladding layer material; mechanical machining, polishing, lapping, and/or grinding of cladding material; ablative techniques; functional equivalents thereof; and/or combinations thereof.

In a resonant optical power control device according to the present invention, a WGM optical resonator is coupled to a fiber-optic waveguide according to the present invention. A propagating optical mode (equivalently, an optical carrier wave) to be controlled propagates through the fiber-optic waveguide where it may be controlled, modulated, and/or routed, either passively or by application of control signals to the control device. The fiber-optic waveguide is adapted (as disclosed hereinabove) to enable evanescent optical coupling between the propagating optical mode of the fiber-optic waveguide and a resonant whispering-gallery optical mode of the WGM optical resonator or other optical resonator and/or waveguide, thereby enabling controlled modulation and/or routing of the propagating optical mode of the fiber-optic waveguide. Such optical power control devices and control, modulation, and/or routing techniques are described in detail in: U.S. provisional Application No. 60/111,484; U.S. Application No. 09/454,719; U.S. provisional Application No. 60/108,358; U.S. Application No. 09/440,311; and U.S. provisional Application No. 60/183,499. Each of these applications has been incorporated herein by reference.

In order to achieve and maintain reliable, reproducible, and stable optical coupling between a fiber-optic waveguide and a WGM resonator during and after manufacture of a resonant optical power control device according to the present invention, an alignment device may be employed (Figs. 12, 13A, 13B, 14A, 14B, 16A, 16B, and 16C). Such an alignment device may comprise a first alignment substrate 502 having a waveguide-alignment groove 506

1 and a resonator-alignment groove 504 thereon. A method for fabricating a resonant optical  
2 power control device according to the present invention comprises the steps of: 1) positioning  
3 and securing a fiber-optic waveguide 300 within the waveguide-alignment groove 506; and 2)  
4 positioning and securing the WGM optical resonator ( for example a fiber-ring WGM resonator  
5 602 as disclosed in provisional Application No. 60/183,499, a micro-sphere, or of some other  
6 functionally equivalent configuration as enumerated earlier herein) within the resonator-  
7 alignment groove 504. The waveguide-alignment groove 506 and resonator-alignment groove  
8 504 may be positioned on the alignment substrate 502 so that when positioned and secured  
9 therein, the fiber-optic waveguide 300 and the fiber-ring WGM resonator 602 are in substantial  
10 tangential engagement (typically mechanical contact between the coupling portion 308 of the  
11 cladding layer surface of the evanescent waveguide fiber segment 302 and the circumference of  
12 the resonator 602; see below and Figs. 8A, 8B, 13A, 13B, 14A, and 14B), thereby optically  
13 coupling the WGM resonator 602 to the fiber-optic waveguide 300. Optical coupling between  
14 the WGM resonator 602 and the fiber-optic waveguide 300 may be achieved as long as at least  
15 part of the evanescent wave portions of each of the whispering-gallery optical mode of the  
16 resonator and the propagating optical mode of the fiber are spatially overlapped. The degree of  
17 overlap and the degree of phase matching determines the degree of optical coupling between the  
18 resonator and the fiber. Actual mechanical contact is not required, only that the resonator and  
19 waveguide be sufficiently close to permit the overlap. However, in a preferred embodiment of  
20 an optical power control device according to the present invention, optical coupling between the  
21 resonator and the waveguide is most reproducibly, reliably, and stably achieved by positioning  
22 and securing the WGM resonator 602 and the fiber-optic waveguide 300 in mechanical contact  
23 with one another within each respective alignment groove. Figs. 16A, 16B, and 16C show a  
24 similar configuration of a fiber-optic waveguide 300 and a WGM micro-sphere resonator 620  
25 connected to a tapered end 632 of an optical fiber 624.

26 As shown in Fig. 12, the resonator-alignment groove and the waveguide-alignment  
27 groove may preferably be substantially perpendicular, so that the waveguide 300 and WGM  
28 fiber-ring resonator 602 may be substantially co-planar. Similarly, substantially perpendicular  
29 alignment grooves insure that a WGM micro-sphere resonator would be aligned with its  
30 symmetry axis substantially perpendicular to fiber-optic waveguide 300 (Figs. 16A and 16B; it  
31 should be noted the such "micro-spheres" are typically slightly oblate, with a symmetry axis  
32 substantially coinciding with the tapered fiber end). The alignment grooves may have

1 substantially constant width and depth profiles along their respective lengths, or alternatively  
2 may have tailored width and/or depth profiles. The cross-sectional shape of the alignment  
3 grooves may preferably be substantially rectangular (in fact generally slightly trapezoidal due to  
4 laser machining or other etch processes typically employed), but may alternatively have any  
5 suitable cross-sectional shape for positioning and securing the WGM resonator and the fiber-  
6 optic waveguide. The depths of the resonator-alignment groove and waveguide-alignment  
7 groove are preferably chosen so that when positioned and secured therein, the waveguide and  
8 WGM resonator are in direct contact and therefore optically coupled in a reproducible, reliable,  
9 and stable manner (Figs. 13A, 13B, 14A, 14B, 16A, and 16B). The depths chosen depend on the  
10 mechanical configurations of the WGM resonator and the fiber-optic waveguide, as may be  
11 readily determined for a particular configuration by one skilled in the art. Either the waveguide-  
12 alignment groove or the resonator-alignment groove may be the deeper groove, and typically the  
13 component (waveguide or resonator) corresponding to the deeper groove is positioned and  
14 secured in its respective groove first, and the other component positioned and secured after the  
15 first, although this need not always be the case. If multiple WGM resonators are to be coupled to  
16 a single fiber-optic waveguide through multiple evanescent coupling surfaces, the multiple  
17 WGM resonators may be positioned in alternating positions above and below the fiber-optic  
18 waveguide, thereby enhancing the overall mechanical stability of the assembly (not shown).  
19 Any of a variety of functionally equivalent methods may be employed for securing the fiber-  
20 optic waveguide and/or the WGM resonator within the respective alignment groove, including  
21 but not limited to: application of adhesives, epoxies, resins, polymers, solders, and the like;  
22 welding or fusing; and providing a mechanical retainer for retaining the fiber-optic waveguide  
23 and/or WGM resonator within the respective alignment groove, such as a clamp, clip, fastener,  
24 plate, or other like device. In an alternative embodiment of an optical power control device, the  
25 fiber-optic waveguide may be fused or welded (with a CO<sub>2</sub> laser, for example) to the  
26 circumference of a WGM resonator to insure stable, reliable, and reproducible optical coupling.  
27 Once the fiber-optic waveguide and WGM resonator have each been positioned and secured  
28 within the respective alignment groove, the alignment device may be sealed (preferably  
29 hermetically sealed) to isolate the fiber and resonator from the use environment of the optical  
30 power control device. This is important for a number of reasons. First, the optical coupling  
31 relies on the propagation of evanescent optical waves from free surfaces of the fiber-optic  
32 waveguide and WGM resonator. Any contamination of these free surfaces may drastically alter

1 the optical properties of the waveguide and/or resonator and/or optical coupling thereof, thereby  
2 altering the performance of the optical power control device. Similarly, any movement of the  
3 fiber-optic waveguide relative to the WGM resonator may also alter the optical coupling and  
4 performance of the control device. The alignment device may comprise a cover, second  
5 substrate, or other functionally equivalent component 508 that may be positioned over the  
6 alignment grooves and sealed into place (using adhesives, epoxies, resins, polymers, solders,  
7 and/or the like; or using welding or fusion), leaving the two ends of the fiber-optic waveguide  
8 exposed for connecting to an optical power transmission system (Figs. 13A, 14A, and 16A).

9 In a preferred embodiment of a optical power control device according to the present  
10 invention, a WGM resonator is employed having been fabricated from an optical fiber as  
11 disclosed in provisional Application No. 60/183,499. Such a WGM resonator fabricated from an  
12 optical fiber and comprising a resonator fiber segment 602 and adjacent fiber segments 604 may  
13 be particularly well-suited for use in the optical power control device fabrication methods  
14 described herein. The adjacent fiber segments 604 may serve to reproducibly, reliably, and  
15 stably position the WGM resonator 602 within the resonator-alignment groove 504, particularly  
16 in directions substantially orthogonal to the longitudinal axis of the resonator fiber segment 602  
17 and adjacent fiber segments 604. Proper longitudinal positioning is required so that the fiber-  
18 optic waveguide 300 tangentially engages the resonator fiber segment 602 and not an adjacent  
19 fiber segment 604. This may be most simply accomplished by providing a blind resonator-  
20 alignment groove 504, truncating an adjacent fiber segment 604 at an appropriate length, and  
21 positioning the WGM resonator 602 in resonator-alignment groove 504 so that the truncated end  
22 of adjacent fiber segment 604 butts up against the blind end of resonator-alignment groove 504.  
23 If the truncated end is angle polished and the blind groove end is angled, rotation of the fiber  
24 may serve to adjust the longitudinal position of the WGM resonator within resonator-alignment  
25 groove 504. Alternatively, alignment structures provided on the adjacent fiber segments 604  
26 may serve to properly longitudinally position the WGM resonator 602 within the resonator-  
27 alignment groove 504. Preferred alignment structures that may be provided on one or more of  
28 the adjacent fiber segments 604 may comprise circumferential grooves and/or circumferential  
29 annular flanges for engaging corresponding complimentary alignment structures (flanges and/or  
30 grooves, respectively) that may be provided in the resonator-alignment groove 504 of the  
31 alignment substrate 502. Such alignment structures are more fully disclosed in provisional  
32 Application No. 60/183,499, cited hereinabove. Other suitable alignment structures may be

1 employed while remaining within the scope of inventive concepts disclosed and/or claimed  
2 herein. The fiber-optic waveguide 300 may be precisely transversely positioned by virtue of  
3 waveguide-alignment groove 506, while the concave longitudinal-sectional shape of the coupling  
4 portion 308 of the cladding layer surface of the evanescent waveguide fiber segment 302 may  
5 preferably serve to longitudinally position the fiber-optic waveguide 300 within the waveguide-  
6 alignment groove 506 with respect to the WGM resonator 602. Alternatively, fiber-optic  
7 waveguide 300 may be provided with alignment structures (grooves, flanges, or the like) on  
8 adjacent fiber segments 312 in a manner analogous to that disclosed for the WGM resonator 602  
9 and adjacent fiber segments 604, and corresponding complimentary structures may be provided  
10 in waveguide-alignment groove 506.

11 In an alternative embodiment of a optical power control device according to the present  
12 invention, a WGM micro-sphere resonator is employed having been fabricated from an optical  
13 fiber as disclosed in earlier-cited applications A1 through A4. Such a WGM micro-sphere  
14 resonator fabricated from an optical fiber and comprising a micro-sphere resonator 620  
15 connected to a tapered section 622 of an optical fiber 624 may be employed in the optical power  
16 control device fabrication methods described herein. The optical fiber 624 may serve to  
17 reproducibly, reliably, and stably position the WGM micro-sphere resonator 620 within the  
18 resonator-alignment groove 504, particularly in directions substantially orthogonal to the  
19 symmetry axis of the micro-sphere resonator 620. Proper longitudinal positioning is required so  
20 that the fiber-optic waveguide 300 tangentially engages the micro-sphere resonator 620. This  
21 may be most simply accomplished by providing a blind resonator-alignment groove 504,  
22 truncating the optical fiber 624 at an appropriate length, and positioning the WGM micro-sphere  
23 resonator 620 in resonator-alignment groove 504 so that the truncated end of the optical fiber  
24 624 butts up against the blind end of resonator-alignment groove 504. If the truncated end is  
25 angle polished and the blind groove end is angled, rotation of the fiber may serve to adjust the  
26 longitudinal position of the WGM resonator within resonator-alignment groove 504.  
27 Alternatively, alignment structures provided on the optical fiber 624 may serve to properly  
28 longitudinally position the WGM micro-sphere resonator 620 within the resonator-alignment  
29 groove 504. Preferred alignment structures that may be provided on the optical fiber 624 may  
30 comprise circumferential grooves and/or circumferential annular flanges for engaging  
31 corresponding complimentary alignment structures (flanges and/or grooves, respectively) that  
32 may be provided in the resonator-alignment groove 504 of the alignment substrate 502. Such

1 alignment structures are more fully disclosed in provisional Application No. 60/183,499, cited  
2 hereinabove. Other suitable alignment structures may be employed while remaining within the  
3 scope of inventive concepts disclosed and/or claimed herein. The fiber-optic waveguide 300  
4 may be precisely transversely positioned by virtue of waveguide-alignment groove 506, while  
5 the concave longitudinal-sectional shape of the coupling portion 308 of the cladding layer  
6 surface of the evanescent waveguide fiber segment 302 may preferably serve to longitudinally  
7 position the fiber-optic waveguide 300 within the waveguide-alignment groove 506 with respect  
8 to the WGM micro-sphere resonator 620. Alternatively, fiber-optic waveguide 300 may be  
9 provided with alignment structures (grooves, flanges, or the like) on adjacent fiber segments 312  
10 in a manner analogous to that disclosed for the WGM resonator 602 and adjacent fiber segments  
11 604 or optical fiber 624, and corresponding complimentary structures may be provided in  
12 waveguide-alignment groove 506.

13 A major portion of the cost associated with manufacture of optical power control devices  
14 arises from the labor-intensive steps involved in properly aligning the components of the device.  
15 Often active alignment techniques are required wherein some measure of device performance  
16 (examples include insertion loss, modulation depth, bandwidth, and so forth) is monitored and  
17 optimized with respect to alignment of components of the device. Such active alignment steps  
18 are reduced or substantially eliminated from fabrication of a resonant optical power control  
19 device according to the present invention. For example, appropriate depths chosen for the  
20 resonator-alignment groove and the waveguide-alignment groove, and circumferential grooves  
21 and/or annular flanges provided on an adjacent fiber segment or connected optical fiber and  
22 appropriately positioned mating structures in the resonator-alignment groove for engaging the  
23 grooves/flanges, both serve to enable positioning of the WGM resonator in substantial tangential  
24 engagement (in mechanical contact, for example) with the fiber-optic waveguide when each is  
25 positioned within the respective alignment groove, without any need for active monitoring of  
26 device properties during assembly and/or alignment. Such passive alignment techniques  
27 substantially reduce manufacturing time and cost, and substantially enhance reliability and  
28 consistency of the manufactured devices.

29 Whispering-gallery-mode optical (WGM) resonators and methods for fabrication thereof  
30 have been described in earlier-cited applications A1 through A5 wherein the WGM resonator  
31 (fiber-ring, micro-sphere, or other functionally equivalent resonator structure) may be provided

1 with a modulator for enabling controlled modulation of optical properties of the WGM resonator.  
2 The modulator may be provided in a variety of ways, including but not limited to: in a WGM  
3 resonator fabricated by providing material on the circumference of a resonator fiber segment, the  
4 material provided may enable modification of optical properties of the WGM resonator; in a  
5 WGM resonator fabricated by spatially-selective doping of a resonator fiber segment, the doped  
6 material may enable modification of optical properties of the WGM resonator; a modulator  
7 material may be provided on at least a portion of the circumference of the WGM resonator and  
8 therefore be encompassed by an evanescent portion of the WGM optical wave extending radially  
9 from the resonator fiber segment; an adjacent fiber segment may be truncated sufficiently close  
10 to the resonator fiber segment so that at least a portion of the resulting fiber end face is  
11 encompassed by a evanescent wave portion of the WGM optical wave extending longitudinally  
12 from the resonator fiber segment, and a modulator material may be provided on the portion of  
13 the fiber end face thus encompassed; combinations thereof; and/or functional equivalents thereof.  
14 The modulator material (including deposited, bonded, attached, and/or doped material) may  
15 include but is not limited to: an electro-optic material; an electro-absorptive material; a non-  
16 linear optical material; a semi-conductor material (including hetero-structures such as quantum  
17 wells); an optical gain medium (a laser material, for example); a piezo-electric material;  
18 combinations thereof; and/or functional equivalents thereof. The modulator may enable  
19 controlled modulation of one or more optical properties of the WGM resonator, including but not  
20 limited to: optical gain and/or loss; optical coupling to the WGM resonator; a resonant frequency  
21 of the WGM resonator; combinations thereof; and/or functional equivalents thereof.

22 For each of the various modulator structures, methods, and materials recited hereinabove  
23 for a WGM resonator, some sort of control signal must be applied to the modulator. A  
24 modulator control element may therefore be provided on the alignment device for providing such  
25 signals to a modulator of a WGM resonator. Such signals may comprise an electronic control  
26 signal, an optical control signal, a mechanical control signal, and/or other control signal, and the  
27 modulator control element may comprise means for applying such control signals to the  
28 modulator. Examples of such means may include, but are not limited to: electrical conductors,  
29 wires, cables, electrodes, electrical contacts, ohmic contacts, wireless transmitters and/or  
30 receivers, semiconductors, semiconductor hetero-structures (including quantum wells), diodes,  
31 triodes, transistors, field-effect transistors (FET's), CMOS devices, integrated circuits, ASIC's,  
32 digital circuits, analog circuits, optical fibers, lenses, micro-lenses, mirrors, prisms, integrated



1 optics, adaptive optics, light sources, laser sources, laser diodes, light-emitting diodes (LED's),  
2 photo-voltaic devices, photo-conductive devices, piezo-electric devices, electrostrictive devices,  
3 actuators, translators, rotators, linear and/or rotary stepper motors, linear and/or rotary servo  
4 systems, combinations thereof, and/or functional equivalents thereof. Several specific  
5 illustrative examples follow. An electronic and/or optical control signal may be applied to an  
6 optically thin semiconductor quantum well material provided on a fiber end face, for example,  
7 thereby altering the optical loss of the WGM resonator. An optical and/or electronic signal may  
8 be applied to an electro-optic material deposited on the resonator fiber segment, thereby altering  
9 the WGM resonator refractive index and therefore also altering a resonant frequency of the  
10 WGM resonator. A mechanical control signal may be applied via a piezo-electric, electro-static,  
11 or micro-electro-mechanical (MEM) control element to move a fiber-optic waveguide into or out  
12 of mechanical contact with the circumference of the WGM resonator, thereby altering the optical  
13 coupling between the WGM resonator and the fiber-optic waveguide. A mechanical control  
14 signal may be applied via a piezo-electric, electro-static, or micro-electro-mechanical (MEM)  
15 control element to move a resonator loss element into or out of mechanical contact with the  
16 circumference of the WGM resonator, thereby altering the optical loss of the WGM resonator.  
17 The foregoing are exemplary only, and many other modulation schemes may be devised for  
18 application of control signals for modulating of WGM resonator optical properties while  
19 remaining within the scope of inventive concepts disclosed and/or claimed herein. A portion of  
20 the modulator control element may reside on and/or within the alignment device, and access to  
21 the control element may be provided enabling control of the modulator after hermetic sealing of  
22 the alignment device.

23         The application of a control signal to a modulator of a WGM resonator via a modulator  
24 control element enables controlled modulation of the optical power transmitted through the fiber-  
25 optic waveguide of the optical power control device. This may be accomplished in a variety of  
26 ways, depending on the nature of the modulator employed, and several specific examples follow.  
27 Modulating the optical loss of the WGM resonator between essentially zero loss and the so-  
28 called critical-coupling loss (wherein the WGM loss roughly equals the coupling between the  
29 transmission fiber and the WGM resonator) enables modulation of an optical wave that is  
30 resonant with a whispering-gallery mode of the WGM resonator between about 0% (substantially  
31 unattenuated transmission) and about 100% (substantially blocked transmission). A similar  
32 result may be obtained by keeping the WGM optical loss constant while modulating the optical

1 coupling between the fiber-optic waveguide and the WGM resonator. Alternatively, modulating  
2 a resonant frequency of a WGM having optical loss substantially equal to the critical-coupling  
3 loss may enable similar modulation of an optical wave as the WGM resonant frequency is moved  
4 out of and brought into resonance with the optical wave. The foregoing are exemplary only, and  
5 many other fiber-optic waveguide modulation schemes may be devised by suitable modulation of  
6 WGM resonator optical properties while remaining within the scope of inventive concepts  
7 disclosed and/or claimed herein.

8 In addition to the fiber-optic waveguide and the WGM resonator (and possibly including  
9 a modulator and a modulator control element), an optical power control device according to the  
10 present invention may further comprise a secondary optical assembly positioned on the  
11 alignment device substantially tangentially engaged with the WGM resonator fiber segment, as  
12 disclosed in applications A1 through A5, cited hereinabove. The secondary optical assembly  
13 may therefore be optically coupled to the WGM resonator, and coupled to the fiber-optic  
14 waveguide therethrough. The modulator (if present) may be employed to actively modulate the  
15 optical coupling between the secondary optical assembly and the fiber-optic waveguide through  
16 modulation of optical properties of the WGM resonator and/or coupling between the WGM  
17 resonator and the fiber-optic waveguide and/or the secondary optical assembly in a manner  
18 similar to that described hereinabove. Alternatively, the optical coupling/interactions between  
19 the fiber-optic waveguide, WGM optical resonator, and secondary optical assembly may be  
20 passive. The secondary optical assembly may comprise a second fiber-optic waveguide (thereby  
21 enabling controlled switching or passive routing of an optical wave propagating along the first  
22 fiber-optic waveguide to the second fiber-optic waveguide; Figs. 15A and 15B), a waveguide of  
23 another type, or the secondary optical assembly may comprise a second WGM optical resonator  
24 (thereby enabling, for example, controlled modification/modulation of the overall properties of  
25 the optical power control device, particularly the wavelength dependence of the control device).  
26 The secondary optical assembly may be positioned on and secured to the alignment device on the  
27 same alignment substrate as the first fiber-optic waveguide and first WGM resonator, or the  
28 alignment device may comprise a second alignment substrate with the secondary optical  
29 assembly positioned and secured thereto. Such a secondary optical assembly and/or second  
30 alignment substrate may be suitably indexed or provided with mating alignment structure(s) to  
31 enable reproducible, reliable, and stable alignment of the secondary optical assembly with the  
32 first WGM resonator when the optical power control device is assembled. The alignment device,

1 including the first fiber-optic waveguide, the first WGM optical resonator, and the secondary  
2 optical assembly, may be sealed (preferably hermetically sealed) after assembly, as disclosed  
3 hereinabove. A cover, the second alignment substrate, or another functionally equivalent  
4 component may be positioned over the alignment grooves and sealed into place (using welding,  
5 fusion, adhesives, epoxies, resins, polymers, solders, and/or the like), leaving only the two ends  
6 of the fiber-optic waveguide exposed for connecting to an optical power transmission system. A  
7 portion of the modulator control element (if present) may reside on and/or within the assembled  
8 alignment device, and access to the control element may be provided enabling control of the  
9 modulator after hermetic sealing of the alignment device. Such access may comprise feed-  
10 through connectors, access ports, windows, embedded conductors and/or optical fibers, and the  
11 like for transmitting optical, electronic, or mechanical control signals.

12 A specific example of an optical power control device according to the present invention  
13 suitable for routing optical signals is shown in Figs. 15A and 15B. Two fiber-optical  
14 waveguides 300 and 800 are shown coupled to the same WGM optical resonator 602. A  
15 propagating optical mode in fiber-optic waveguide 300 may be routed into fiber-optic waveguide  
16 800 by evanescent optical coupling of each waveguide to WGM resonator 602, depending on the  
17 wavelength of the propagating optical mode and the resonance wavelength(s) of WGM resonator  
18 602. Routing of optical signals in this way may be passive, the wavelength-dependence of the  
19 routing relying on the optical properties of WGM resonator 602. Alternatively, routing of optical  
20 signals using a device as shown in Figs. 15A and 15B may be actively controlled, by active  
21 control of optical coupling of waveguide 300 and/or waveguide 800 to resonator 602, and/or  
22 active control of properties of resonator 602. Waveguides 300 and 800 and resonator 602 may  
23 be reproducibly, reliably, and stably positioned using a suitable alignment device comprising  
24 first and second alignment substrates 502 and 510 and may be hermetically sealed within as  
25 disclosed herein. The one or both ends of waveguides 300 and 800 may extend beyond the  
26 alignment device (Fig. 15A) for connecting to an optical power transmission system.

27 Instead of providing a modulator on the WGM resonator, a modulator (if present) may  
28 alternatively comprise a separate modulator optical assembly. Modulation of the optical  
29 properties of the modulator optical assembly (rather than modulation of the optical properties of  
30 the WGM resonator) serves to modulate the optical power transmitted through the fiber-optic  
31 waveguide. The modulator optical assembly may preferably be positioned in substantial

1 tangential engagement with the WGM resonator fiber segment (and therefore optically coupled  
2 to the WGM resonator) and secured to the alignment device. The modulator optical assembly  
3 may comprise any of a wide variety of devices, including but not limited to: an optical gain  
4 and/or loss modulator, a non-linear optical device, an electro-optic device, an electro-absorptive  
5 device, a semiconductor device (including semiconductor heterostructures, such as quantum  
6 wells), a second fiber-optic or other evanescent waveguide, a second WGM resonator (which  
7 may further comprise a modulator, as described above), composite structures comprising multi-  
8 layer dielectric stacks incorporating an electro-optic layer, combinations thereof, and/or  
9 functional equivalents thereof. The optical properties of the modulator optical assembly may be  
10 controlled and/or modulated to modulate the transmission of optical power through the fiber-  
11 optic waveguide as described hereinabove for a modulator provided on the WGM resonator. A  
12 control signal (electronic, optical, mechanical, or other) may be applied to the modulator optical  
13 assembly as described hereinabove, and the alignment device may comprise a component (a  
14 modulator control element) for delivering such control signals to the modulator optical assembly,  
15 as described hereinabove. The application of a control signal to the modulator optical assembly  
16 via a modulator control element enables controlled modulation of the optical power transmitted  
17 through the fiber-optic waveguide of the optical power control device and may be accomplished  
18 in a variety of ways, depending on the nature of the modulator employed. Several specific  
19 examples follow. Modulating the optical loss of an optical loss modulator optically coupled to  
20 the WGM resonator between essentially zero loss and the so-called critical-coupling loss  
21 (wherein the loss roughly equals the coupling between the transmission fiber and the WGM  
22 resonator) enables modulation of a propagating optical mode that is resonant with a whispering-  
23 gallery mode of the WGM resonator between about 0% (substantially unattenuated transmission)  
24 and about 100% (substantially blocked transmission). A similar result may be obtained by  
25 keeping the modulator optical loss constant while modulating the optical coupling between the  
26 modulator optical assembly and the WGM resonator. Alternatively, modulating a resonant  
27 frequency of a second WGM (part of the modulator optical assembly) may enable similar  
28 modulation of a propagating optical mode as the second WGM resonant frequency is moved out  
29 of and brought into resonance with the propagating optical mode. The foregoing are exemplary  
30 only, and many other fiber-optic waveguide modulation schemes may be devised by suitable  
31 modulation of WGM resonator optical properties while remaining within the scope of inventive  
32 concepts disclosed and/or claimed herein.

1           The modulator optical assembly may be positioned on and secured to the alignment  
2 device on the same alignment substrate as the fiber-optic waveguide and WGM resonator, or the  
3 alignment device may comprise a second alignment substrate with the modulator optical  
4 assembly positioned and secured thereto. The modulator optical assembly and/or second  
5 alignment substrate may be suitably indexed or provided with mating alignment structure(s) to  
6 enable reproducible, reliable, and stable alignment of the modulator optical assembly with the  
7 WGM resonator when the optical power control device is assembled. The alignment device,  
8 including the fiber-optic waveguide, the WGM optical resonator, and the modulator optical  
9 assembly, may be sealed (preferably hermetically sealed) after assembly, as disclosed  
10 hereinabove. A cover, the second alignment substrate, or another functionally equivalent  
11 component may be positioned over the alignment grooves and sealed into place (using adhesives,  
12 epoxies, resins, polymers, solders, and/or the like), leaving only the two ends of the fiber-optic  
13 waveguide exposed for connecting to an optical power transmission system. A portion of the  
14 modulator control element may reside on and/or within the assembled alignment device, and  
15 access to the control element may be provided enabling control of the modulator after hermetic  
16 sealing of the alignment device. Such access may comprise feed-through connectors, access  
17 ports, embedded conductors and/or optical fibers, and the like for transmitting optical, electronic,  
18 or mechanical control signals.

19           In the alternative embodiment, a plurality of WGM resonator fiber segments are provided  
20 along a single optical fiber sufficiently close that each WGM resonator may be optically coupled  
21 longitudinally to its neighboring WGM resonators. A fiber-optic waveguide may be optically  
22 coupled to a first resonator fiber segment, and a second fiber-optic waveguide may be optically  
23 coupled to a second resonator fiber segment. Appropriate selection of a combination of resonant  
24 frequencies for each of the resonator fiber segments enables tailoring of the frequency  
25 dependence of the overall optical coupling between optical fiber and optical fiber via the  
26 plurality of resonator fiber segments. In this way optical power control devices having  
27 specifically designed/tailored frequency characteristics may be fabricated.

28           The alignment device, comprising one or more grooved and/or indexed alignment  
29 substrates, may be fabricated from a material sufficiently rigid to provide reliable, reproducible,  
30 and stable positioning of the fiber-optic waveguide, WGM resonator, and any secondary or  
31 modulator optical assembly that comprise the optical power control device. Preferred materials

1 may include ceramics or semiconductors such as silicon or a III-V semiconductor, but other  
2 material (such as metals, alloys, glasses, crystalline materials, and dielectric materials) may be  
3 employed while remaining within the scope of inventive concepts disclosed and/or claimed  
4 herein. The waveguide-alignment groove and the resonator-alignment groove may be formed by  
5 any suitable means for machining (or otherwise processing) the material used. A preferred  
6 method for providing the grooves is laser machining (most preferably ablative laser machining  
7 with an excimer laser), however, other fabrication techniques may be employed, such as  
8 lithographic patterning of a mask followed by wet (chemical) or dry (reactive ion) etching,  
9 electric discharge machining, plasma discharge machining, or single wire arc ablation. These  
10 same machining/processing techniques may be employed for providing other alignment and/or  
11 indexing structures on the alignment device (such as tabs, slots, pins, holes, grooves, and the  
12 like).

13         Laser machining has been set forth as a preferred method for spatially-selective removal  
14 of material from the optical fiber at various points in the fabrication process of fiber-optic  
15 waveguides and whispering-gallery-mode resonator (for patterning etch masks, deposition  
16 masks, diffusion and/or doping masks, and so forth). While remaining within the scope of  
17 inventive concepts disclosed and/or claimed herein, other methods for patterned removal of  
18 material from the optical fiber may be employed, including but not limited to: lithographic  
19 methods, optical patterning of photosensitive materials and/or photo-resists, mechanical  
20 techniques, electric or plasma discharge techniques, combinations thereof, and/or functional  
21 equivalents thereof.

22         The techniques encompassed by the term "cylindrical lithography" may be employed to  
23 produce fiber tapers that may in turn be employed for polarization-specific propagation of optical  
24 modes therethrough and evanescent coupling of such modes to the whispering-gallery optical  
25 modes of a WGM optical resonator. Cylindrical lithography may be employed to produce a non-  
26 PM tapered optical fiber segment coupled on each end thereof to PM optical fiber. The technique  
27 involves splicing a section of standard (i.e., non-PM) single-mode fiber into a length of PM fiber  
28 and heating/pulling the standard fiber segment to form the tapered section. The two opposing  
29 sections of PM fiber must be rotationally aligned to high precision ( $1^\circ$  or better), which can be  
30 achieved by the following process: (1) determine the orientation of one segment of PM fiber by  
31 rotating it under planar illumination and measuring the scattering pattern as a function of angle

(i.e., measure the POL pattern of the fiber as is conventionally done in PM-capable fusion splicers); (2) fuse this section of PM fiber to a segment of standard single-mode fiber on which a portion of mask material such as hermetic carbon is provided; (3) translate the fiber to bring the opposing (free) end of the coated standard fiber segment into the lithography exposure apparatus, whilst preserving the angular orientation of the fiber; (4) employ the technique of cylindrical lithography to produce angular registration marks on coated section in the near proximity of the free end of the coated standard fiber segment; (5) measure the POL pattern of the second segment of PM fiber; (6) align the PM fiber with respect to the angular registration marks, and fuse the second PM fiber segment to the segment of standard fiber. This process would produce a fiber taper waveguide member appropriate for polarization selective coupling to a WGM resonator since minimal polarization randomization should occur for a propagating optical mode traversing the tapered segment, provided the spliced-in section of standard fiber is sufficiently short.

The present invention has been set forth in the forms of its preferred and alternative embodiments. It is nevertheless intended that modifications to the disclosed fiber-optic waveguides and methods of fabrication and use thereof may be made without departing from inventive concepts disclosed and/or claimed herein.

## CLAIMS

What is claimed is:

1. A method for fabricating a fiber-optic waveguide, comprising the step of spatially selectively removing material from a cladding layer of an evanescent waveguide fiber segment of a waveguide optical fiber and forming an evanescent optical coupling portion of a cladding layer surface thereof, so that a remaining portion of the cladding layer is asymmetrically disposed about at least a portion of a core of the waveguide optical fiber, thereby enabling an evanescent portion of a propagating optical mode propagating therethrough to extend transversely beyond at least a portion of the coupling portion of the cladding layer surface of the evanescent waveguide fiber segment while being substantially transversely encompassed by respective cladding layers of two longitudinally adjacent fiber segments of the waveguide optical fiber.
2. A method for fabricating a fiber-optic waveguide as recited in Claim 1, wherein the cladding-material-removing step comprises spatially-selective etching of material from the cladding layer of the evanescent waveguide fiber segment of the waveguide optical fiber.
3. A method for fabricating a fiber-optic waveguide as recited in Claim 2, wherein the cladding-material-removing step comprises the steps of:  
providing the waveguide optical fiber with a mask that substantially covers the two longitudinally adjacent segments of the waveguide optical fiber but covers only portions of a length and a circumference of the evanescent waveguide fiber segment of the waveguide optical fiber; and  
spatially-selectively etching the waveguide optical fiber, thereby asymmetrically removing material from the cladding layer of the evanescent waveguide fiber segment of the waveguide optical fiber.
4. A method for fabricating a fiber-optic waveguide as recited in Claim 3, wherein the mask-providing step comprises spatially-selective removal of an outer fiber coating from portions of the length and circumference of the evanescent waveguide fiber segment and the mask comprises portions of the outer fiber coating remaining on the two longitudinally adjacent segments of the waveguide optical fiber and on the evanescent waveguide fiber segment.



- 1    5. A method for fabricating a fiber-optic waveguide as recited in Claim 4, wherein the mask-  
2       providing step comprises spatially-selective laser-machining of the outer fiber coating.
- 3    6. A method for fabricating a fiber-optic waveguide as recited in Claim 5, further comprising  
4       the step of partially rotating the waveguide optical fiber during laser machining, thereby  
5       removing mask material from arcuate portions of a surface of the waveguide optical fiber  
6       extending partially around a circumference thereof.
- 7    7. A method for fabricating a fiber-optic waveguide as recited in Claim 5, wherein the  
8       waveguide optical fiber rotates within a capillary tube during laser machining, thereby  
9       providing substantially concentric rotation during laser machining.
- 10   8. A method for fabricating a fiber-optic waveguide as recited in Claim 5, further comprising  
11       the steps of: rotating the waveguide optical fiber during laser machining, and modulating a  
12       laser used for laser machining synchronously with rotation of the waveguide optical fiber,  
13       thereby removing mask material from arcuate portions of a surface of the waveguide optical  
14       fiber extending partially around a circumference thereof.
- 15   9. A method for fabricating a fiber-optic waveguide as recited in Claim 5, wherein the outer  
16       fiber coating comprises a polymeric jacket and laser machining is performed with a UV-  
17       emitting excimer laser.
- 18   10. A method for fabricating a fiber-optic waveguide as recited in Claim 5, wherein the outer  
19       fiber coating comprises a carbon coating and laser machining is performed with a pulsed  
20       laser.
- 21   11. A method for fabricating a fiber-optic waveguide as recited in Claim 5, wherein the outer  
22       fiber coating comprises a carbon coating and laser machining is performed with a  
23       substantially continuous laser.
- 24   12. A method for fabricating a fiber-optic waveguide as recited in Claim 5, wherein the outer  
25       fiber coating comprises a photo-resist material.
- 26   13. A method for fabricating a fiber-optic waveguide as recited in Claim 3, wherein the mask-  
27       providing step comprises spatially-selective deposition of an outer fiber coating on the two  
28       longitudinally adjacent segments of the waveguide optical fiber and on portions of the length  
29       and circumference of the evanescent waveguide fiber segment, and the mask comprises the  
30       outer fiber coating thus deposited.

- 1 14. A method for fabricating a fiber-optic waveguide as recited in Claim 13, wherein the mask-  
2 providing step comprises spatially-selective metal vapor deposition of the outer fiber  
3 coating.
- 4 15. A method for fabricating a fiber-optic waveguide as recited in Claim 14, wherein shadow  
5 masking techniques are employed to implement the spatially-selective metal vapor  
6 deposition of the outer fiber coating.
- 7 16. A method for fabricating a fiber-optic waveguide as recited in Claim 3, wherein the  
8 spatially-selective etching step is performed using aqueous hydrofluoric acid.
- 9 17. A method for fabricating a fiber-optic waveguide as recited in Claim 16, wherein the  
10 aqueous hydrofluoric acid comprises between about 5% HF and about 50% HF buffered  
11 with  $\text{NH}_4\text{F}$ .
- 12 18. A method for fabricating a fiber-optic waveguide as recited in Claim 17, wherein the  
13 aqueous hydrofluoric acid comprises between about 7% HF and about 8% HF buffered with  
14 between about 30%  $\text{NH}_4\text{F}$  and about 40%  $\text{NH}_4\text{F}$ .
- 15 19. A method for fabricating a fiber-optic waveguide as recited in Claim 3, wherein the  
16 waveguide optical fiber is polarization-maintaining optical fiber, comprising longitudinally  
17 extending stressor elements disposed within the cladding layer in substantially opposing  
18 positions about the core, the stressor elements being etched at a slower rate than the cladding  
19 layer, thereby yielding transversely protruding passive alignment structures as a result of the  
20 cladding-material-removing step.
- 21 20. A method for fabricating a fiber-optic waveguide as recited in Claim 19, wherein the passive  
22 alignment structures are adapted to engage longitudinally adjacent fiber segments of a fiber-  
23 ring whispering-gallery-mode optical resonator, thereby enabling reproducible substantially  
24 tangential engagement of the evanescent waveguide fiber segment and a fiber-ring  
25 whispering-gallery-mode optical resonator and enabling reproducible evanescent optical  
26 coupling between a whispering-gallery optical mode of the fiber-ring resonator and the  
27 propagating optical mode of the evanescent waveguide fiber segment.
- 28 21. A method for fabricating a fiber-optic waveguide as recited in Claim 3, wherein the  
29 cladding-material-removing step further comprises the step of removing the mask from the  
30 waveguide optical fiber.

1 22. A method for fabricating a fiber-optic waveguide as recited in any of Claims 1 through 21,  
2 wherein the cladding-material-removing step further comprises the step of controlling a  
3 shape and size of the coupling portion of the cladding layer surface of the evanescent  
4 waveguide fiber segment.

5 23. A method for fabricating a fiber-optic waveguide as recited in Claim 22, wherein:  
6 the cladding-material-removing step comprises the steps of  
7 providing the waveguide optical fiber with a mask that substantially covers the two  
8 longitudinally adjacent segments of the waveguide optical fiber but covers only  
9 portions of a length and a circumference of the evanescent waveguide fiber  
10 segment of the waveguide optical fiber, and  
11 spatially-selectively etching the waveguide optical fiber, thereby asymmetrically  
12 removing material from the cladding layer of the evanescent waveguide fiber  
13 segment of the waveguide optical fiber; and  
14 the optical-coupling-portion-shape-and-size-controlling step comprises controlling a shape  
15 and a size of an area of the evanescent waveguide fiber segment left uncovered by the  
16 mask-providing step.

17 24. A method for fabricating a fiber-optic waveguide as recited in Claim 23, wherein a width  
18 and a circumferential extent of the area of the evanescent waveguide fiber segment left  
19 uncovered by the mask-providing step are controlled, thereby controlling the shape and size  
20 of the coupling portion of the cladding layer surface of the evanescent waveguide fiber  
21 segment.

22 25. A method for fabricating a fiber-optic waveguide as recited in Claim 23, wherein:  
23 the area left uncovered by the mask-providing step comprises a plurality of arcuate segments  
24 of the cladding layer surface, the arcuate segments extending partially around the  
25 circumference of the waveguide optical fiber and being separated from adjacent arcuate  
26 segments by intervening portions of the mask; and  
27 number, widths, circumferential extents, and spacings from adjacent arcuate segments are  
28 controlled for the plurality of arcuate segments, thereby controlling the shape and size  
29 of the coupling portion of the cladding layer surface of the evanescent waveguide fiber  
30 segment.

- 1 26. A method for fabricating a fiber-optic waveguide as recited in Claim 22, wherein the  
2 coupling portion of the cladding layer surface of the evanescent waveguide fiber segment  
3 has a saddle-like shape, having a concave longitudinal-sectional shape near at least a portion  
4 of the core of the evanescent waveguide fiber segment and a convex transverse-sectional  
5 shape near at least a portion of the core of the evanescent waveguide fiber segment.
- 6 27. A method for fabricating a fiber-optic waveguide as recited in Claim 26, wherein the  
7 concave longitudinal-sectional shape of the coupling portion of the cladding layer surface is  
8 adapted to receive and substantially tangentially engage a whispering-gallery-mode optical  
9 resonator, and to enable evanescent optical coupling between a whispering-gallery optical  
10 mode of the resonator and the propagating optical mode in the evanescent waveguide fiber  
11 segment.
- 12 28. A method for fabricating a fiber-optic waveguide as recited in Claim 26, wherein the convex  
13 transverse-sectional shape of the coupling portion of the cladding layer surface is adapted to  
14 enable substantial tangential engagement of the coupling portion of the cladding layer  
15 surface and a fiber-ring whispering-gallery-mode optical resonator, and to enable evanescent  
16 optical coupling between a whispering-gallery optical mode of the fiber-ring resonator and  
17 the propagating optical mode in the evanescent waveguide fiber segment.
- 18 29. A method for fabricating a fiber-optic waveguide as recited in Claim 22, wherein the  
19 coupling portion of the cladding layer surface of the evanescent waveguide fiber segment  
20 has a pit-like shape, having a concave longitudinal-sectional shape near at least a portion of  
21 the core of the evanescent waveguide fiber segment and a concave transverse-sectional  
22 shape near at least a portion of the core of the evanescent waveguide fiber segment.
- 23 30. A method for fabricating a fiber-optic waveguide as recited in Claim 29, wherein the  
24 concave longitudinal-sectional shape of the coupling portion of the cladding layer surface is  
25 adapted to receive and substantially tangentially engage a whispering-gallery-mode optical  
26 resonator, and to enable evanescent optical coupling between a whispering-gallery optical  
27 mode of the resonator and the propagating optical mode in the evanescent waveguide fiber  
28 segment.
- 29 31. A method for fabricating a fiber-optic waveguide as recited in Claim 29, wherein the  
30 concave transverse-sectional shape of the coupling portion of the cladding layer surface is

1 adapted to enable substantial tangential engagement of the coupling portion of the cladding  
2 layer surface and a micro-disk whispering-gallery-mode optical resonator, and to enable  
3 evanescent optical coupling between a whispering-gallery optical mode of the micro-disk  
4 resonator and the propagating optical mode in the evanescent waveguide fiber segment.

5 32. A method for fabricating a fiber-optic waveguide as recited in Claim 22, wherein the  
6 coupling portion of the cladding layer surface of the evanescent waveguide fiber segment  
7 has a concave longitudinal-sectional shape near at least a portion of the core of the  
8 evanescent waveguide fiber segment and a substantially flat transverse-sectional shape near  
9 at least a portion of the core of the evanescent waveguide fiber segment, the concave  
10 longitudinal-sectional shape of the coupling portion of the cladding layer surface being  
11 adapted to receive and substantially tangentially engage a whispering-gallery-mode optical  
12 resonator, and to enable evanescent optical coupling between a whispering-gallery optical  
13 mode of the resonator and the propagating optical mode in the evanescent waveguide fiber  
14 segment.

15 33. A method for fabricating a fiber-optic waveguide as recited in Claim 1, wherein the  
16 cladding-material-removing step further comprises the step of controlling the amount of  
17 cladding material removed from the evanescent wave fiber segment.

18 34. A method for fabricating a fiber-optic waveguide as recited in Claim 33, wherein the  
19 controlling step comprises the steps of:  
20 monitoring optical loss of the waveguide optical fiber during the cladding-material-  
21 removing step; and  
22 terminating the cladding-material-removing step in response to the optical loss of the  
23 waveguide optical fiber reaching a pre-determined level.

24 35. A method for fabricating a fiber-optic waveguide as recited in Claim 34, wherein the pre-  
25 determined optical loss level is between about 0.1 dB and about 30 dB.

26 36. A method for fabricating a fiber-optic waveguide as recited in Claim 34, wherein the pre-  
27 determined optical loss level is between about 0.1 dB and about 10 dB.

28 37. A method for fabricating a fiber-optic waveguide as recited in Claim 34, wherein the pre-  
29 determined optical loss level is between about 0.1 dB and about 3 dB.

- 1 38. A method for fabricating a fiber-optic waveguide as recited in Claim 34, wherein the pre-  
2 determined optical loss level is between about 0.1 dB and about 1 dB.
- 3 39. A method for fabricating a fiber-optic waveguide as recited in Claim 33, wherein a  
4 minimum distance between the core of the waveguide optical fiber and the coupling portion  
5 of the cladding layer surface is between about 0  $\mu\text{m}$  and about 10  $\mu\text{m}$  as a result of the  
6 cladding-material-removing step.
- 7 40. A method for fabricating a fiber-optic waveguide as recited in Claim 33, wherein the core of  
8 the waveguide optical fiber is partially exposed as a result of the cladding-material-  
9 removing step.
- 10 41. A fiber-optic waveguide fabricated by the method of any of Claims 1 through 40.
- 11 42. A fiber-optic waveguide, comprising:  
12 an evanescent waveguide fiber segment comprising a core and a cladding layer;  
13 a first longitudinally adjacent fiber segment comprising a core and a cladding layer, the  
14 cladding layer substantially surrounding the core and substantially transversely  
15 encompassing a propagating optical mode propagating through the first adjacent fiber  
16 segment; and  
17 a second longitudinally adjacent fiber segment comprising a core and a cladding layer, the  
18 cladding layer substantially surrounding the core and substantially transversely  
19 encompassing a propagating optical mode propagating through the second adjacent  
20 fiber segment,  
21 wherein:  
22 the first adjacent fiber segment is joined at an end thereof to a first end of the evanescent  
23 waveguide fiber segment and the second adjacent fiber segment is joined at an end  
24 thereof to a second end of the evanescent waveguide fiber segment;  
25 the core of the first adjacent fiber segment, the core of the evanescent waveguide fiber  
26 segment, and the core of the second adjacent fiber segment form a substantially  
27 continuous core of the fiber-optic waveguide, thereby enabling a propagating optical  
28 mode to propagate therethrough; and  
29 the cladding layer of the evanescent waveguide fiber segment is asymmetrically disposed  
30 about at least a portion of the core thereof, thereby yielding a coupling portion of a  
31 cladding layer surface of the evanescent waveguide fiber segment and enabling an

1           evanescent portion of the propagating optical mode to extend transversely beyond at  
2           least a portion of the coupling portion of the cladding layer surface of the evanescent  
3           waveguide fiber segment.

4   43. A fiber-optic waveguide as recited in Claim 42, wherein the coupling portion of the cladding  
5       layer surface of the evanescent waveguide fiber segment has a saddle-like shape, having a  
6       concave longitudinal-sectional shape near at least a portion of the core of the evanescent  
7       waveguide fiber segment and a convex transverse-sectional shape near at least a portion of  
8       the core of the evanescent waveguide fiber segment.

9   44. A fiber-optic waveguide as recited in Claim 43, wherein the concave longitudinal-sectional  
10      shape of the coupling portion of the cladding layer surface is adapted to receive and  
11      substantially tangentially engage a whispering-gallery-mode optical resonator, and to enable  
12      evanescent optical coupling between a whispering-gallery optical mode of the resonator and  
13      the propagating optical mode in the evanescent waveguide fiber segment.

14   45. A fiber-optic waveguide as recited in Claim 43, wherein the convex transverse-sectional  
15      shape of the coupling portion of the cladding layer surface is adapted to enable substantial  
16      tangential engagement of the coupling portion of the cladding layer surface and a fiber-ring  
17      whispering-gallery-mode optical resonator, and to enable evanescent optical coupling  
18      between a whispering-gallery optical mode of the fiber-ring resonator and the propagating  
19      optical mode in the evanescent waveguide fiber segment.

20   46. A fiber-optic waveguide as recited in Claim 42, wherein the coupling portion of the cladding  
21      layer surface of the evanescent waveguide fiber segment has a pit-like shape, having a  
22      concave longitudinal-sectional shape near at least a portion of the core of the evanescent  
23      waveguide fiber segment and a concave transverse-sectional shape near at least a portion of  
24      the core of the evanescent waveguide fiber segment.

25   47. A fiber-optic waveguide as recited in Claim 46, wherein the concave longitudinal-sectional  
26      shape of the coupling portion of the cladding layer surface is adapted to receive and  
27      substantially tangentially engage a whispering-gallery-mode optical resonator, and to enable  
28      evanescent optical coupling between a whispering-gallery optical mode of the resonator and  
29      the propagating optical mode in the evanescent waveguide fiber segment.

- 1 48. A fiber-optic waveguide as recited in Claim 46, wherein the concave transverse-sectional  
2 shape of the coupling portion of the cladding layer surface is adapted to enable substantial  
3 tangential engagement of the coupling portion of the cladding layer surface and a micro-disk  
4 whispering-gallery-mode optical resonator, and to enable evanescent optical coupling  
5 between a whispering-gallery optical mode of the micro-disk resonator and the propagating  
6 optical mode in the evanescent waveguide fiber segment.
- 7 49. A fiber-optic waveguide as recited in Claim 42, wherein the coupling portion of the cladding  
8 layer surface of the evanescent waveguide fiber segment has a concave longitudinal-  
9 sectional shape near at least a portion of the core of the evanescent waveguide fiber segment  
10 and a substantially flat transverse-sectional shape near at least a portion of the core of the  
11 evanescent waveguide fiber segment, the concave longitudinal-sectional shape of the  
12 coupling portion of the cladding layer surface being adapted to receive and substantially  
13 tangentially engage a whispering-gallery-mode optical resonator, and to enable evanescent  
14 optical coupling between a whispering-gallery optical mode of the resonator and the  
15 propagating optical mode in the evanescent waveguide fiber segment.
- 16 50. A fiber-optic waveguide as recited in Claim 42, wherein a thickness of the cladding layer  
17 between the coupling portion of the cladding layer surface and the core of the evanescent  
18 waveguide fiber segment yields a pre-determined level of optical loss of the evanescent  
19 waveguide fiber segment.
- 20 51. A fiber-optic waveguide as recited in Claim 50, wherein the pre-determined optical loss  
21 level is between about 0.1 dB and about 30 dB.
- 22 52. A fiber-optic waveguide as recited in Claim 50, wherein the pre-determined optical loss  
23 level is between about 0.1 dB and about 10 dB.
- 24 53. A fiber-optic waveguide as recited in Claim 50, wherein the pre-determined optical loss  
25 level is between about 0.1 dB and about 3 dB.
- 26 54. A fiber-optic waveguide as recited in Claim 50, wherein the pre-determined optical loss  
27 level is between about 0.1 dB and about 1 dB.
- 28 55. A fiber-optic waveguide as recited in Claim 42, wherein a minimum distance between the  
29 core of the evanescent waveguide fiber segment and the coupling portion of the cladding  
30 layer surface is between about 0  $\mu\text{m}$  and about 10  $\mu\text{m}$ .



- 1 56. A fiber-optic waveguide as recited in Claim 55, wherein the core of the evanescent  
2 waveguide fiber segment is partially exposed.
- 3 57. A fiber-optic waveguide as recited in Claim 42, wherein the adjacent fiber segments and  
4 evanescent waveguide fiber segment are fabricated from polarization-maintaining optical  
5 fiber, and each of said segments further comprises longitudinally extending stressor  
6 elements disposed within the respective cladding layer in substantially opposing positions  
7 about the respective core, the stressor elements of the evanescent waveguide segment  
8 serving as transversely protruding passive alignment structures.
- 9 58. A fiber-optic waveguide as recited in Claim 57, wherein the passive alignment structures are  
10 adapted to engage longitudinally adjacent fiber segments of a fiber-ring whispering-gallery-  
11 mode optical resonator, thereby enabling reproducible substantially tangential engagement  
12 of the evanescent waveguide fiber segment and a fiber-ring whispering-gallery-mode optical  
13 resonator and enabling reproducible evanescent optical coupling between a whispering-  
14 gallery optical mode of the fiber-ring resonator and the propagating optical mode of the  
15 evanescent waveguide fiber segment.
- 16 59. A method for fabricating a resonant optical power control device incorporating a fiber-optic  
17 waveguide fabricated by the method of any of Claims 1 through 40 or recited in any of  
18 Claims 41 through 58, comprising the steps of:  
19 positioning and securing the fiber-optic waveguide within a waveguide-alignment groove of  
20 an alignment device; and  
21 positioning and securing a whispering-gallery-mode optical resonator within a resonator-  
22 alignment groove of the alignment device,  
23 wherein:  
24 the whispering-gallery-mode optical resonator is provided with an alignment member for  
25 accurately positioning the resonator in the resonator-alignment groove;  
26 the alignment device comprises a first alignment substrate, and the waveguide-alignment  
27 groove and the resonator-alignment groove are provided on a first surface of the first  
28 alignment substrate; and  
29 the waveguide-alignment groove and the resonator-alignment groove of the alignment  
30 device position the whispering-gallery-mode optical resonator in substantial tangential  
31 engagement with the coupling portion of the cladding layer surface of the evanescent

1 waveguide fiber segment of the fiber-optic waveguide, thereby evanescently optically  
2 coupling the resonator fiber segment and the fiber-optic waveguide.

3 60. A method for fabricating a resonant optical power control device as recited in Claim 59,  
4 wherein the whispering-gallery-mode optical resonator comprises a fiber-ring of an optical  
5 fiber, the fiber ring having a spatial differential of a physical property of the optical fiber  
6 between a resonator segment of the optical fiber and longitudinally adjacent segments of the  
7 optical fiber, thereby enabling substantial confinement by the resonator fiber segment of a  
8 substantially resonant whispering-gallery optical mode propagating around the  
9 circumference of the fiber at least partially within the resonator fiber segment, and at least  
10 one of the adjacent fiber segments serves as the resonator alignment member.

11 61. A method for fabricating a resonant optical power control device as recited in Claim 59,  
12 wherein the whispering-gallery-mode optical resonator comprises a micro-sphere connected  
13 to a tapered portion of a resonator optical fiber, the resonator optical fiber substantially  
14 coinciding with a symmetry axis of the micro-sphere and serving as the resonator alignment  
15 member.

16 62. A method for fabricating a resonant optical power control device as recited in Claim 59,  
17 wherein the resonator-alignment groove and the waveguide-alignment groove are  
18 substantially perpendicular, and differ in depth so that the coupling portion of the cladding  
19 layer surface of the evanescent waveguide fiber segment of fiber-optic waveguide is in  
20 contact with the circumference of the whispering-gallery-mode optical resonator when the  
21 fiber-optic waveguide and resonator alignment member are positioned within the  
22 waveguide-alignment groove and the resonator-alignment groove, respectively.

23 63. A method for fabricating a resonant optical power control device as recited in Claim 59,  
24 further comprising the step of sealing the alignment device, thereby isolating the fiber-optic  
25 waveguide and the whispering-gallery-mode resonator from a use environment.

26 64. A method for fabricating a resonant optical power control device as recited in Claim 59,  
27 wherein the resonator alignment member is provided with an alignment structure and the  
28 resonator-alignment groove is provided with a corresponding alignment structure, thereby  
29 enabling reproducible optical coupling of the whispering-gallery-mode optical resonator and  
30 the coupling portion of the cladding layer surface of the evanescent waveguide fiber  
31 segment of fiber-optic waveguide when the resonator alignment member and the  
32 corresponding alignment structure of the resonator-alignment groove are engaged.

- 1 65. A method for fabricating a resonant optical power control device as recited in Claim 64,  
2 wherein the resonator alignment member comprises a substantially annular circumferential  
3 flange, and the corresponding alignment structure of the resonator-alignment groove  
4 comprises a transverse groove for receiving the flange.
- 5 66. A method for fabricating a resonant optical power control device as recited in Claim 64,  
6 wherein the corresponding alignment structure of the resonator-alignment groove comprises  
7 an inwardly-protruding transverse flange, and the resonator alignment member comprises a  
8 substantially circumferential groove for receiving the flange.
- 9 67. A method for fabricating a resonant optical power control device as recited in Claim 59,  
10 further comprising the steps of positioning and securing a second optical waveguide within a  
11 second waveguide alignment groove of the alignment device, wherein the second  
12 waveguide-alignment groove and the resonator-alignment groove of the alignment device  
13 position the resonator fiber segment in substantial tangential engagement with the second  
14 optical waveguide, thereby evanescently optically coupling the whispering-gallery-mode  
15 resonator and the second optical waveguide and enabling routing of optical power of the  
16 propagating optical mode from the fiber-optic waveguide into the second optical waveguide.
- 17 68. A method of fabricating a resonant optical power control device as recited in Claim 67,  
18 wherein the second optical waveguide comprises a second fiber-optic waveguide fabricated  
19 by the method of any of Claims 1 through 40 or recited in any of Claims 41 through 58.
- 20 69. A method for fabricating a resonant optical power control device as recited in Claim 59,  
21 wherein the whispering-gallery-mode resonator is provided with a modulator for controlling  
22 optical properties of the whispering-gallery-mode resonator, and the alignment device is  
23 provided with a modulator control element.
- 24 70. A method for fabricating a resonant optical power control device as recited in Claim 69,  
25 wherein the modulator control element enables application of an electronic signal to the  
26 modulator for controlled modulation of the optical properties of the whispering-gallery-  
27 mode resonator.
- 28 71. A method for fabricating a resonant optical power control device as recited in Claim 69,  
29 wherein the modulator control element enables application of an optical signal to the  
30 modulator for controlled modulation of the optical properties of the whispering-gallery-  
31 mode resonator.

- 1 72. A method for fabricating a resonant optical power control device as recited in Claim 69,  
2 further comprising the step of sealing the alignment device, thereby isolating the fiber-optic  
3 waveguide, resonator fiber segment, and modulator from a use environment.
- 4 73. A method for fabricating a resonant optical power control device as recited in Claim 69,  
5 further comprising the step of positioning a secondary optical assembly on the alignment  
6 device in substantial tangential engagement with the whispering-gallery-mode resonator,  
7 thereby optically coupling the resonator and the secondary optical assembly and enabling  
8 controlled modulation of optical coupling of the whispering-gallery-mode resonator and the  
9 secondary optical assembly through the controlled modulation of the optical properties of  
10 the whispering-gallery-mode resonator.
- 11 74. A method for fabricating a resonant optical power control device as recited in Claim 73,  
12 wherein the secondary optical assembly comprises second fiber-optic waveguide.
- 13 75. A method for fabricating a resonant optical power control device as recited in Claim 73,  
14 wherein the secondary optical assembly comprises a second whispering-gallery-mode  
15 optical resonator.
- 16 76. A method for fabricating a resonant optical power control device as recited in Claim 73,  
17 further comprising the step of sealing the alignment device, thereby isolating the fiber-optic  
18 waveguide, resonator fiber segment, modulator, and secondary optical assembly from a use  
19 environment.
- 20 77. A method for fabricating a resonant optical power control device as recited in Claim 59,  
21 further comprising the steps of positioning and securing a modulator optical assembly on the  
22 alignment device in substantial tangential engagement with the whispering-gallery-mode  
23 resonator, thereby evanescently optically coupling the resonator and the modulator optical  
24 assembly and enabling controlled modulation of optical coupling of the resonator and the  
25 modulator optical assembly through the controlled modulation of the optical properties of  
26 the modulator optical assembly.
- 27 78. A method for fabricating a resonant optical power control device as recited in Claim 77,  
28 wherein the alignment device comprises a second alignment substrate having the modulator  
29 optical assembly secured thereto and adapted to enable reproducible optical coupling of the  
30 whispering-gallery-mode resonator and the modulator optical assembly.
- 31 79. A method for fabricating a resonant optical power control device as recited in Claim 78,  
32 further comprising sealing the second alignment substrate onto the first alignment substrate,

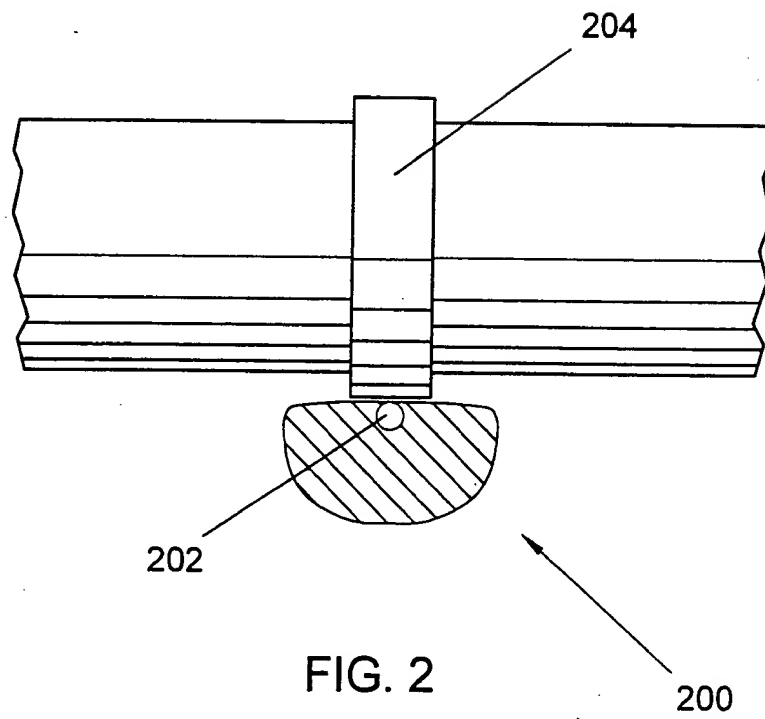
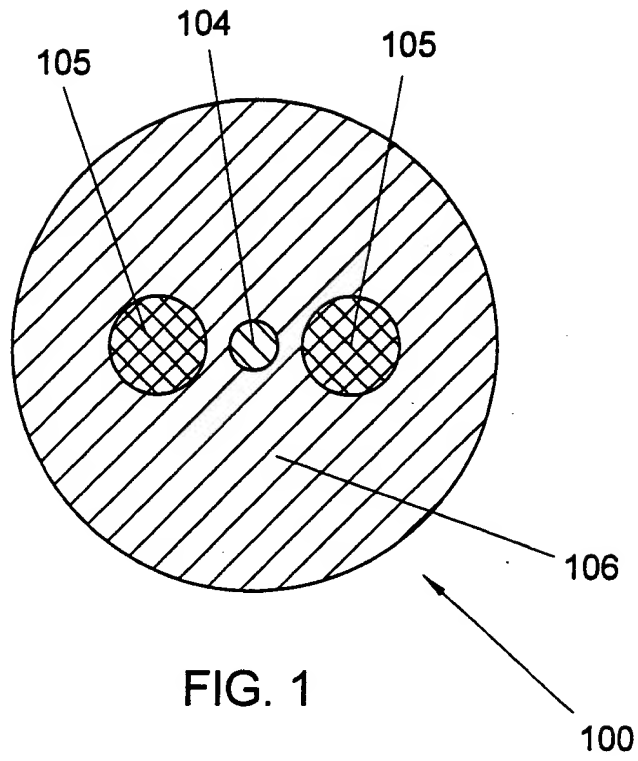
- 1       thereby isolating the fiber-optic waveguide, whispering-gallery-mode resonator, and  
2       modulator optical assembly from a use environment.
- 3   80. A method for fabricating a resonant optical power control device as recited in Claim 77,  
4       wherein the alignment device is provided with a modulator control element for controlled  
5       modulation of the optical properties of the modulator optical assembly.
- 6   81. A method for fabricating a resonant optical power control device as recited in Claim 80,  
7       wherein the modulator control element enables application of an electronic signal to the  
8       modulator optical assembly for controlled modulation of the optical properties of the  
9       modulator optical assembly.
- 10  82. A method for fabricating a resonant optical power control device as recited in Claim 80,  
11       wherein the modulator control element enables application of an optical signal to the  
12       modulator optical assembly for controlled modulation of the optical properties of the  
13       modulator optical assembly.
- 14  83. A method for fabricating a resonant optical power control device as recited in Claim 77,  
15       wherein the modulator optical assembly comprises an optical loss modulator.
- 16  84. A method for fabricating a resonant optical power control device as recited in Claim 77,  
17       wherein the modulator optical assembly comprises a non-linear optical device.
- 18  85. A method for fabricating a resonant optical power control device as recited in Claim 77,  
19       wherein the modulator optical assembly comprises an electro-optic device.
- 20  86. A method for fabricating a resonant optical power control device as recited in Claim 77,  
21       wherein the modulator optical assembly comprises an electro-absorptive device.
- 22  87. A method for fabricating a resonant optical power control device as recited in Claim 77,  
23       wherein the modulator optical assembly comprises a semiconductor device.
- 24  88. A method for fabricating a resonant optical power control device as recited in Claim 77,  
25       wherein the modulator optical assembly comprises a second whispering-gallery-mode  
26       optical resonator.
- 27  89. A method for fabricating a resonant optical power control device as recited in Claim 77,  
28       wherein the modulator optical assembly comprises a second fiber-optic waveguide.
- 29  90. A resonant optical power control device fabricated according to the method of any of Claims  
30       59 through 89.
- 31  91. A resonant optical power control device, comprising:

1       an alignment device comprising a first alignment substrate having a waveguide-alignment  
2       groove and a resonator-alignment groove on a first surface thereof;  
3       a fiber-optic waveguide, fabricated by the method of any of Claims I though IB3 or recited  
4       in any of Claims II though IIIF1, secured within the waveguide-alignment groove;  
5       a whispering-gallery-mode optical resonator secured within the resonator-alignment groove,  
6       wherein the waveguide-alignment groove and the resonator-alignment groove of the  
7       alignment device position the resonator fiber segment in substantial tangential  
8       engagement with the coupling portion of the cladding layer surface of the evanescent  
9       waveguide fiber segment of the fiber-optic waveguide, thereby evanescently optically  
10      coupling the resonator fiber segment and the fiber-optic waveguide.

11   92. A resonant optical power control device as recited in Claim 91, further incorporating the  
12      limitations of any of Claims 59 through 89.

1    **ABSTRACT**

2           A fiber-optic waveguide comprises: 1) an evanescent waveguide fiber segment; and 2)  
3   first and second longitudinally adjacent fiber segments joined to the ends of the evanescent  
4   waveguide fiber segment and having cores that form, with the core of the evanescent waveguide  
5   fiber segment, a substantially continuous core of the fiber-optic waveguide. The cladding layers  
6   of the adjacent fiber segments substantially surround the cores thereof and substantially  
7   transversely encompass an optical mode propagating through the fiber-optic waveguide. The  
8   cladding layer of the evanescent waveguide fiber segment is asymmetrically disposed about at  
9   least a portion of the core thereof, thereby yielding a coupling portion of the cladding layer  
10   surface and enabling an evanescent portion of the propagating optical mode to extend  
11   transversely beyond at least a portion of the coupling portion of the cladding layer surface of the  
12   evanescent waveguide fiber segment. The fiber-optic waveguide may be incorporated into an  
13   optical power control device by tangentially engaging the coupling portion of the cladding layer  
14   surface of the evanescent waveguide fiber segment with a WGM optical resonator, thereby  
15   enabling control of optical power transmitted through the fiber-optic waveguide via modulation  
16   of WGM resonator properties and/or optical coupling thereto. The fiber-optic waveguide may be  
17   fabricated by circumferentially asymmetric removal of cladding material from the evanescent  
18   waveguide fiber segment. The cladding material may be removed by providing a mask for the  
19   adjacent fiber segments and a portion of the length and circumference of the evanescent  
20   waveguide fiber segment, and etching the cladding layer material.





2/12

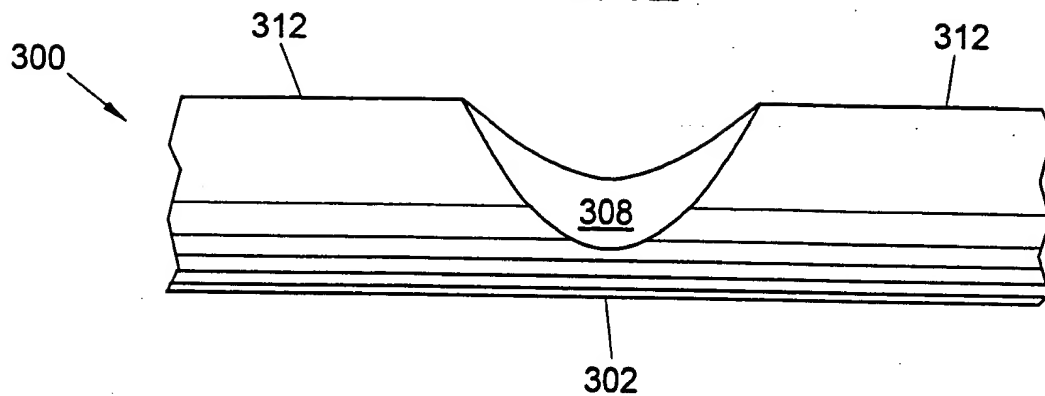


FIG. 3A

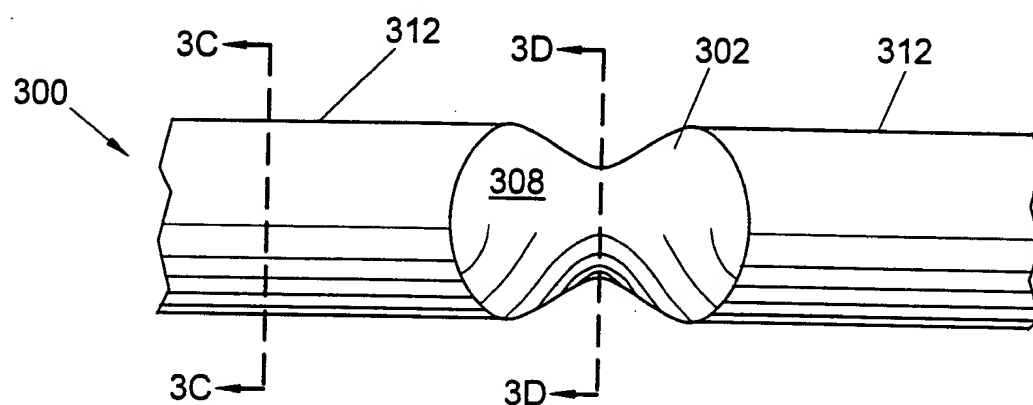


FIG. 3B

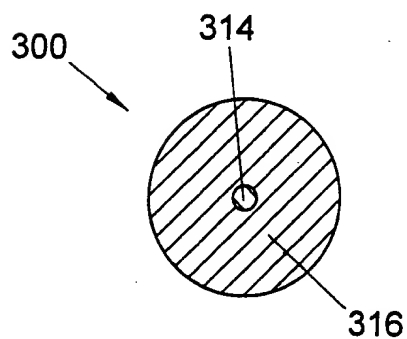


FIG. 3C

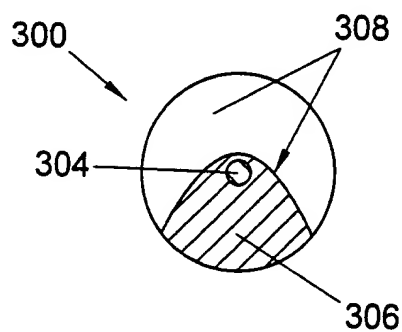


FIG. 3D

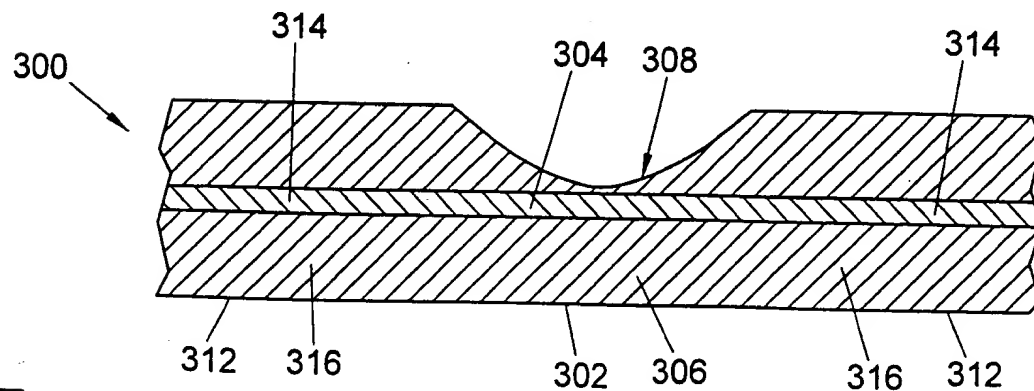


FIG. 3E

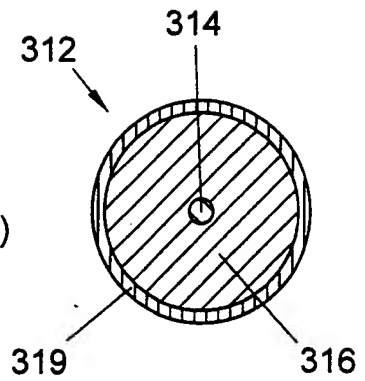
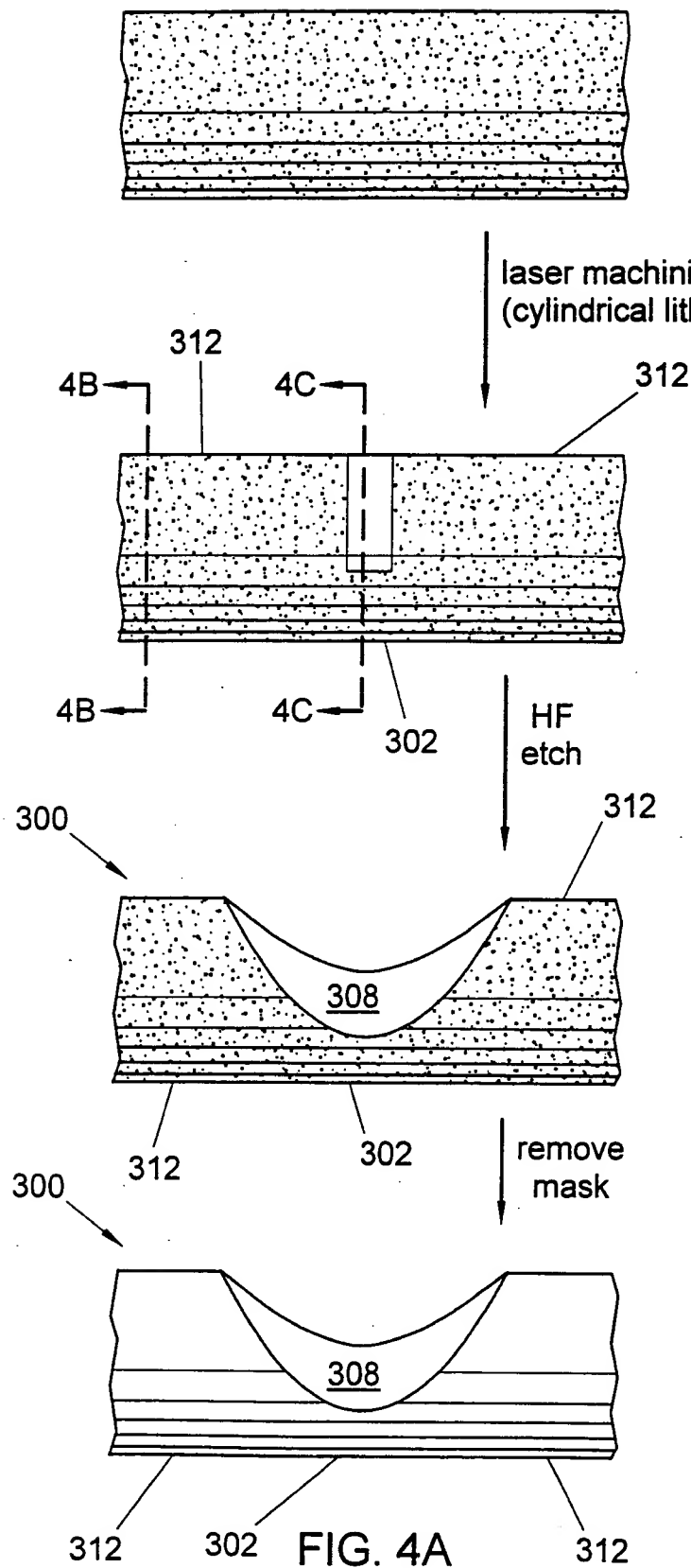


FIG. 4B

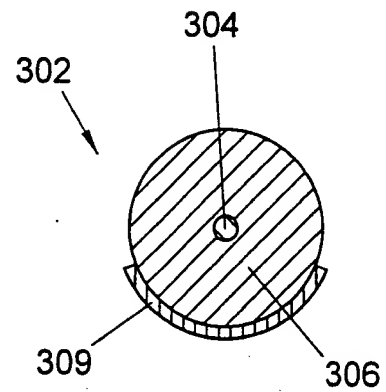


FIG. 4C

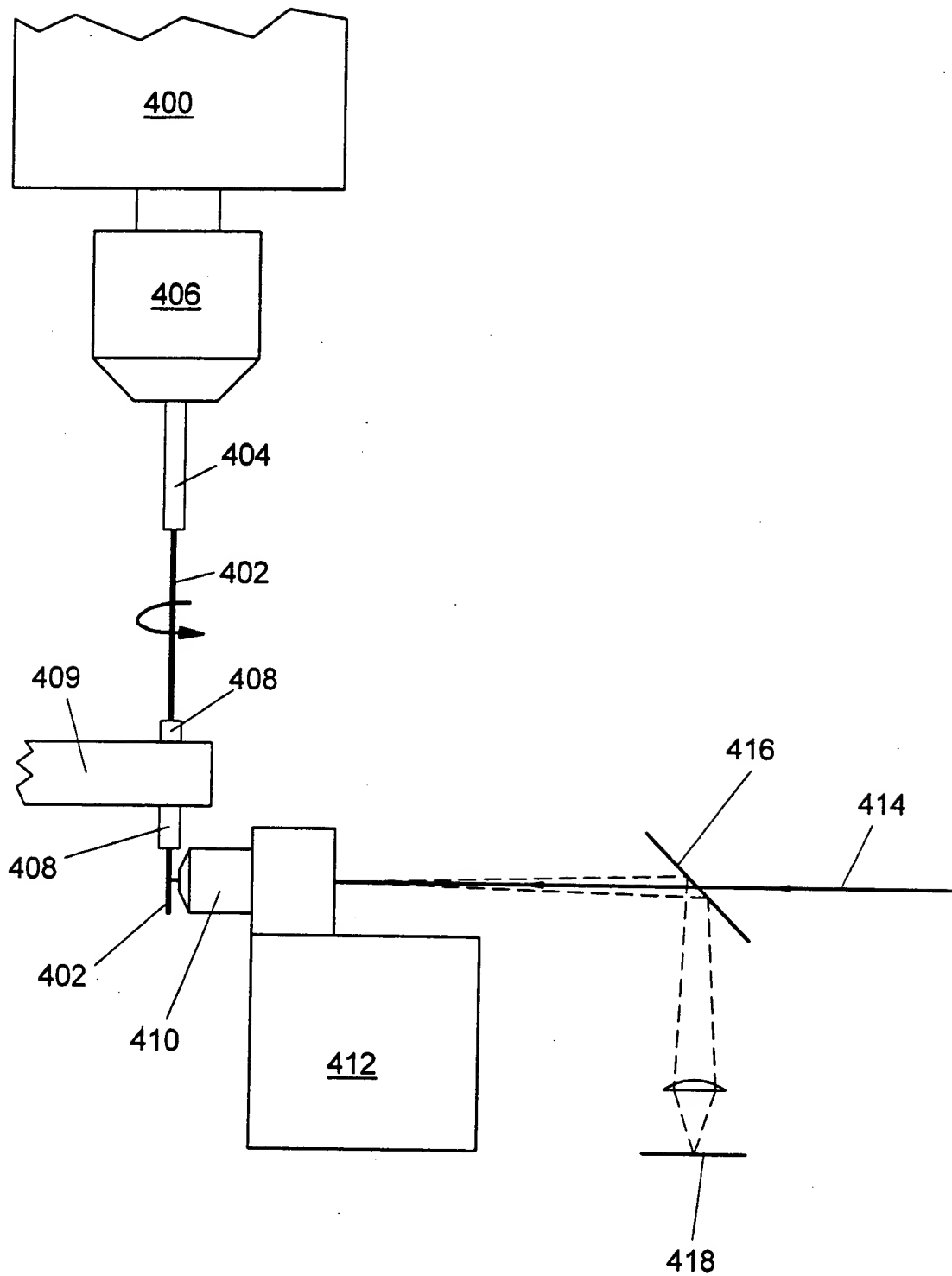
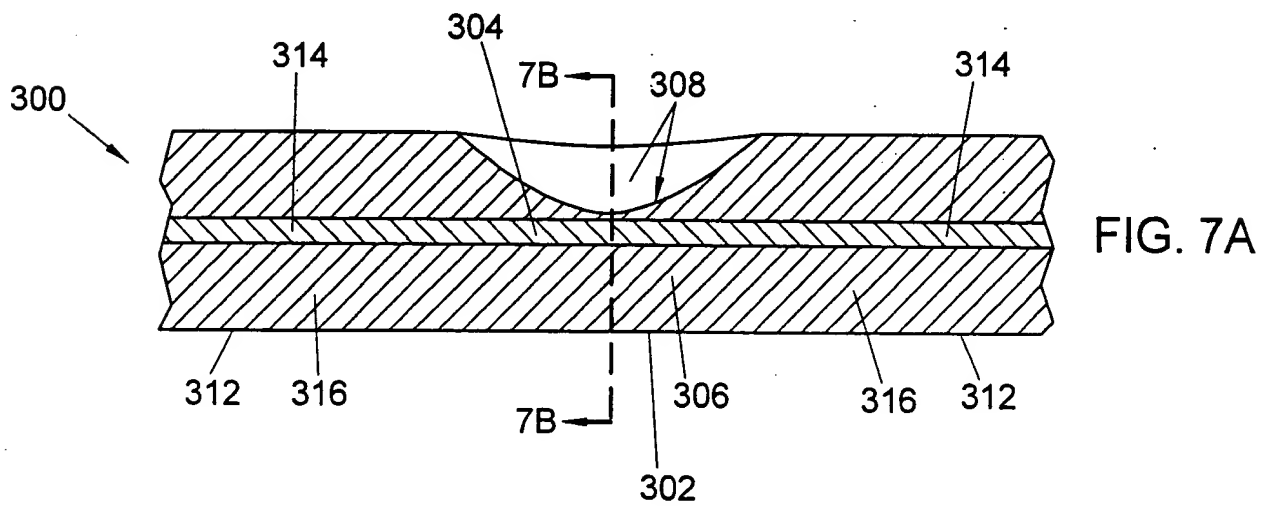
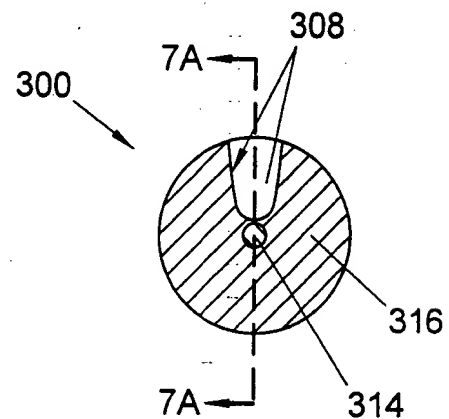
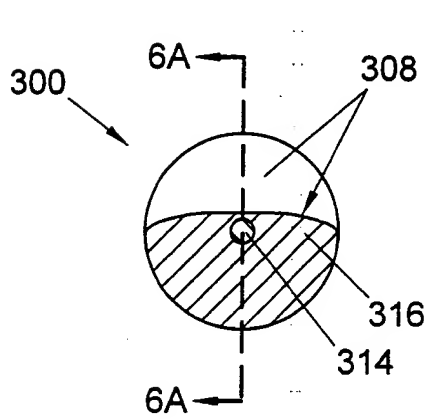
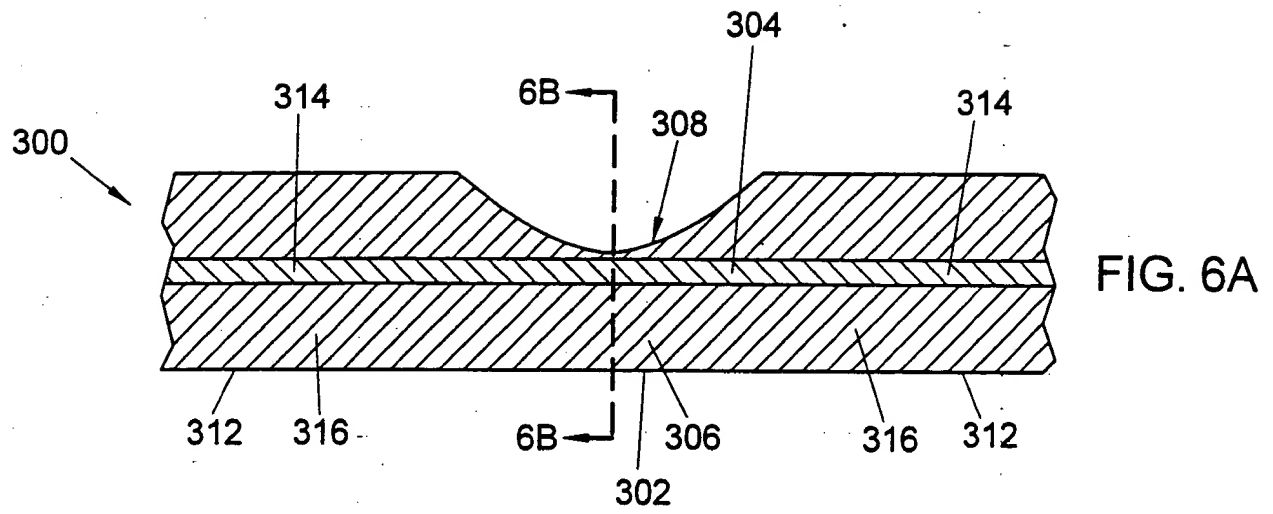


FIG. 5



6/12

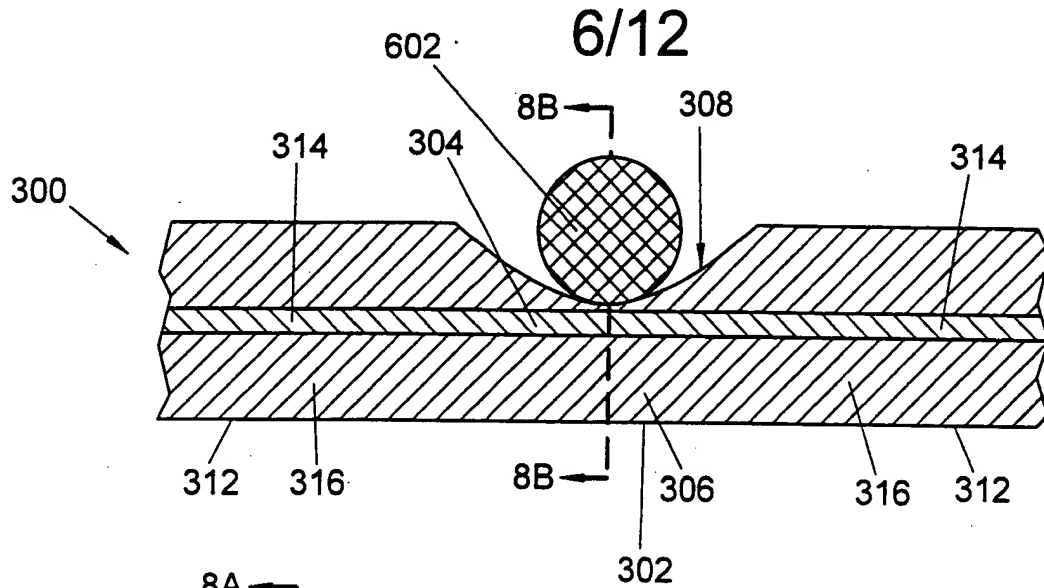


FIG. 8A

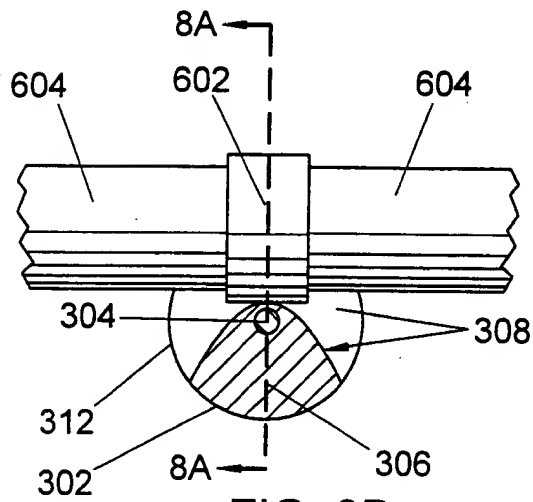


FIG. 8B

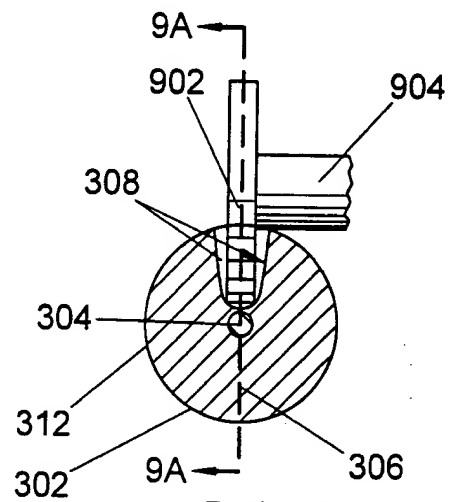


FIG. 9B

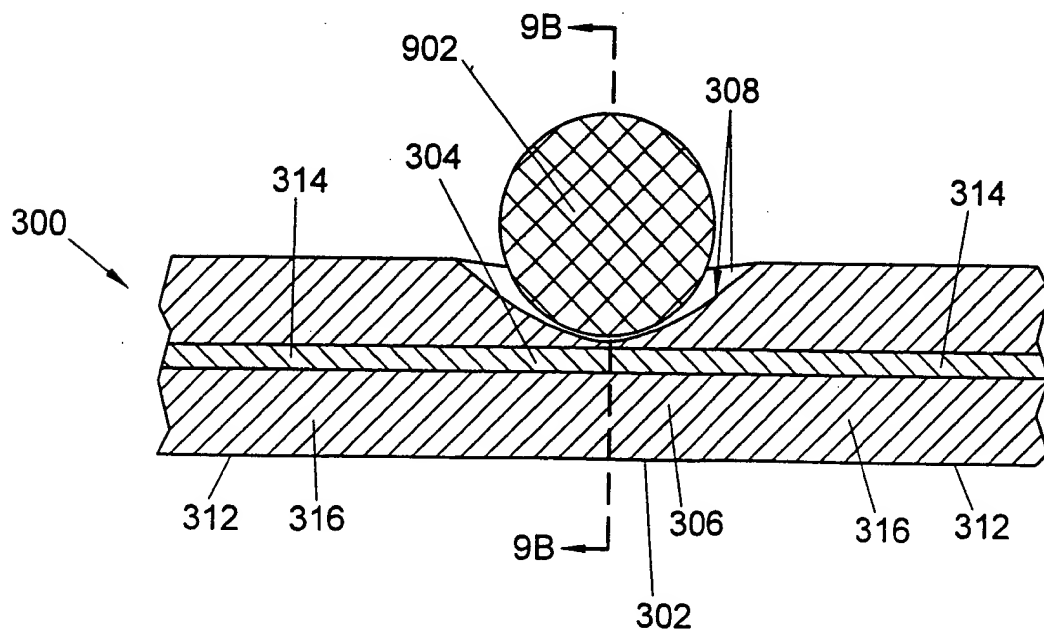


FIG. 9A

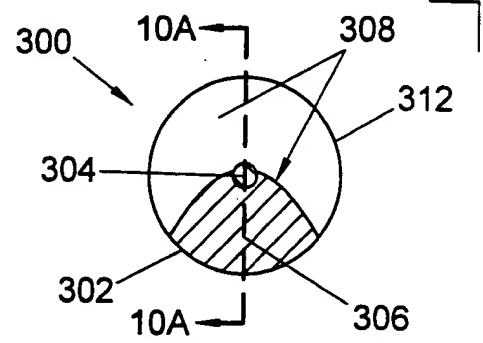


FIG. 10B

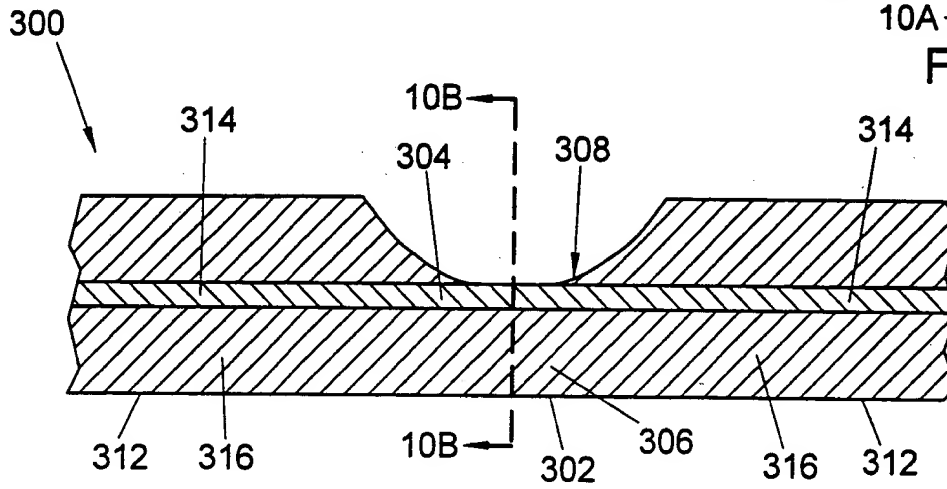


FIG. 10A

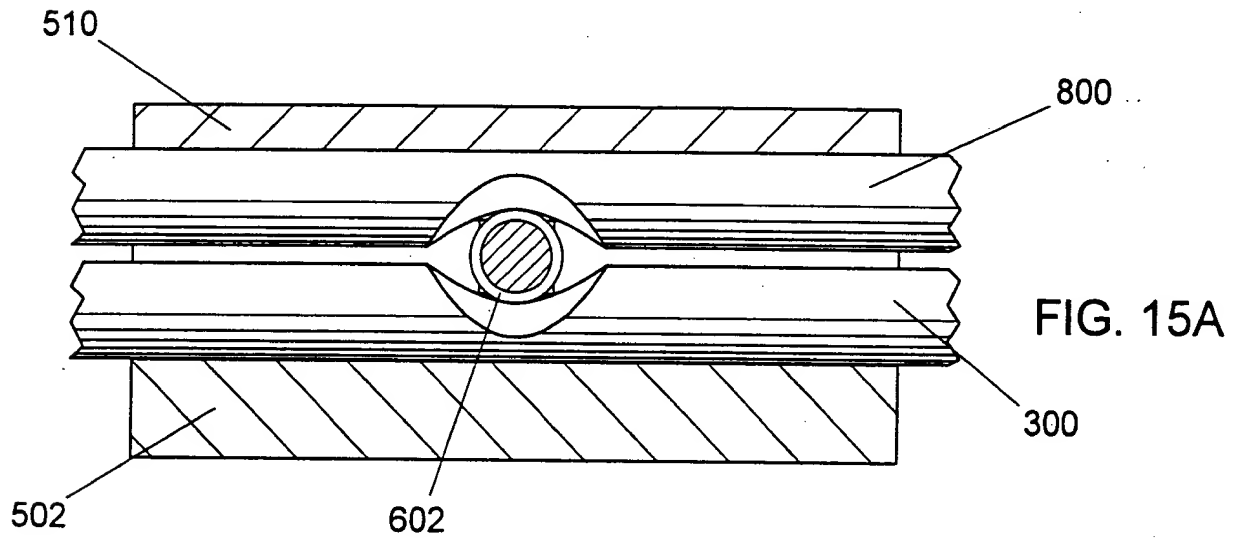


FIG. 15A

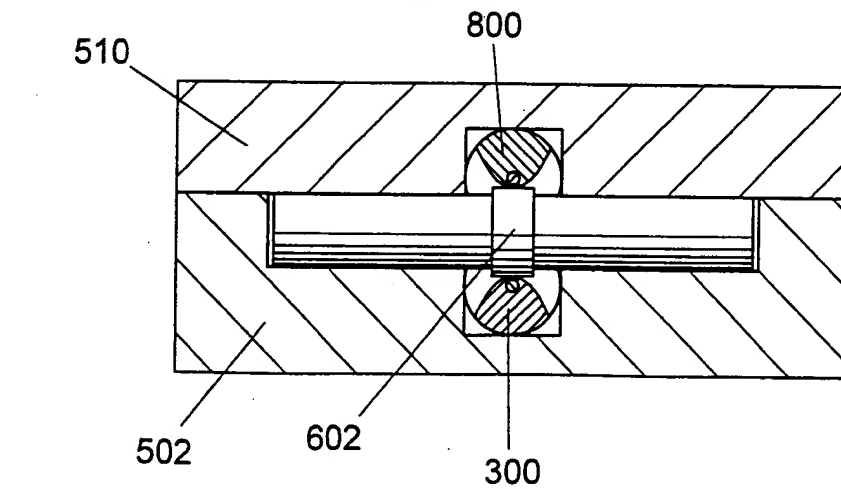


FIG. 15B

8/12

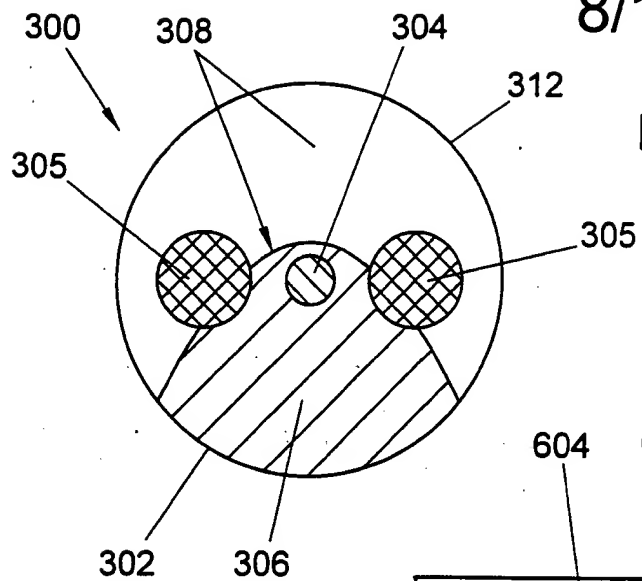


FIG. 11A

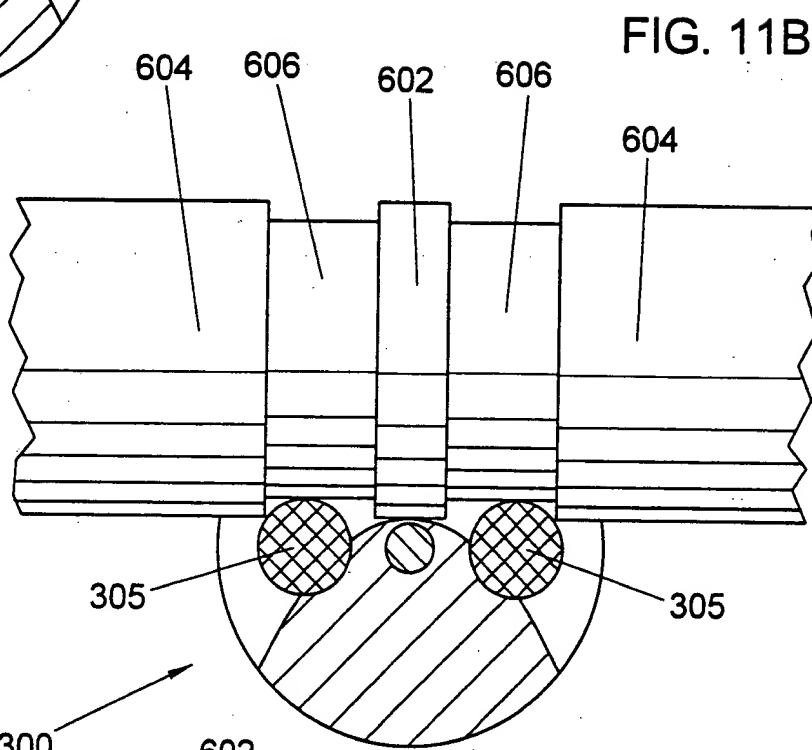


FIG. 11B

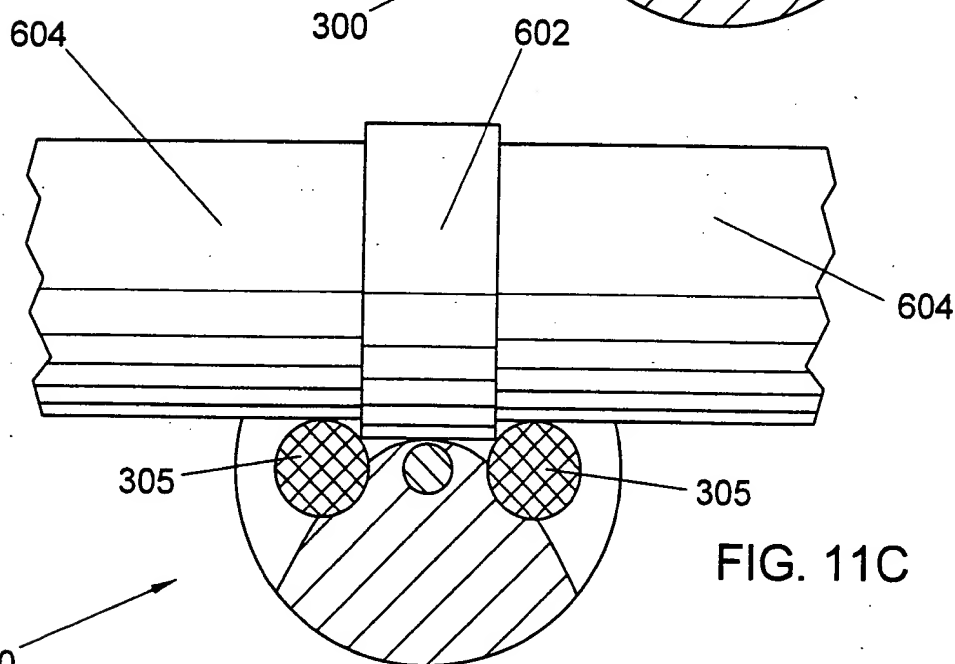


FIG. 11C

9/12

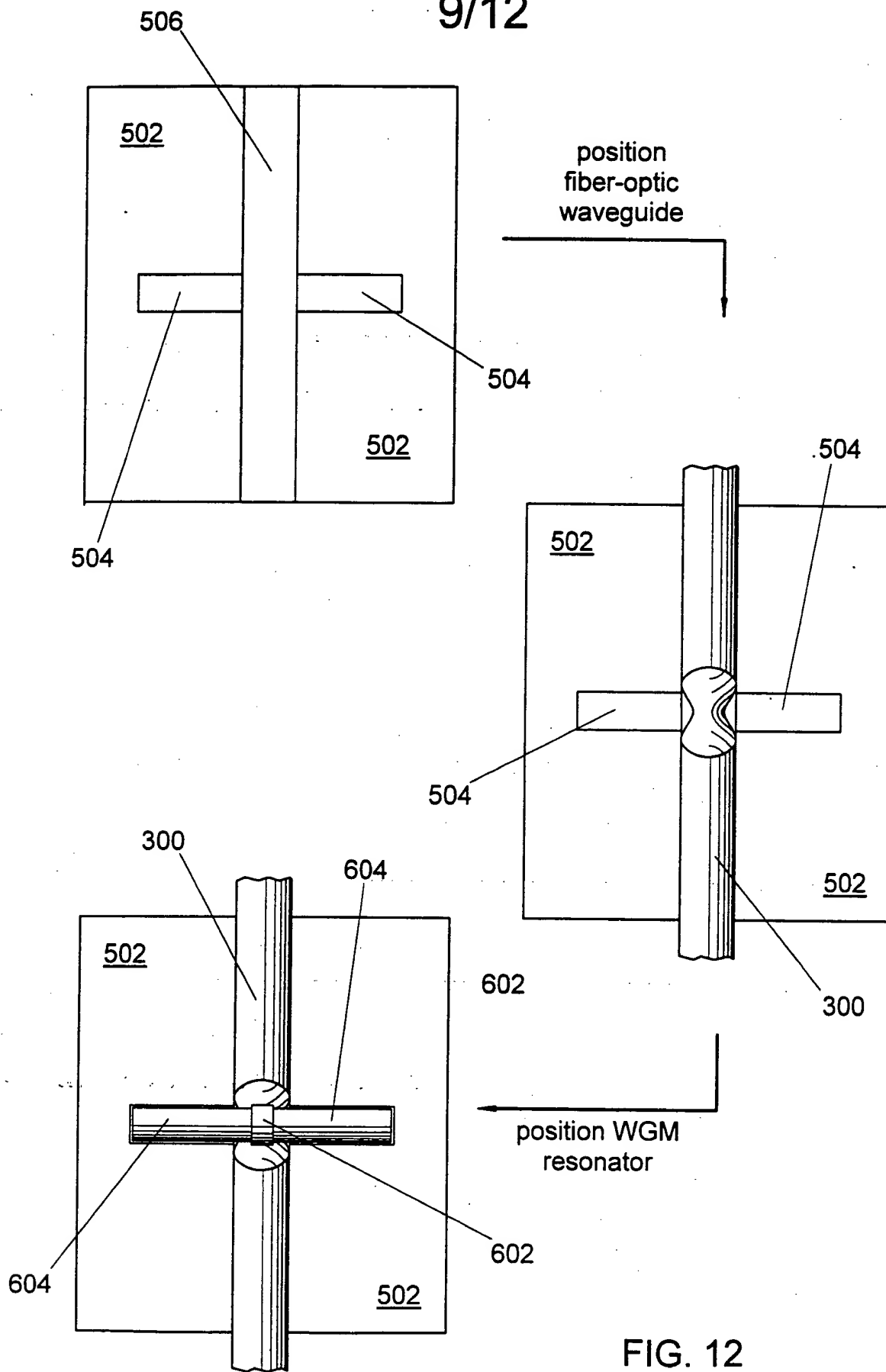


FIG. 12



10/12

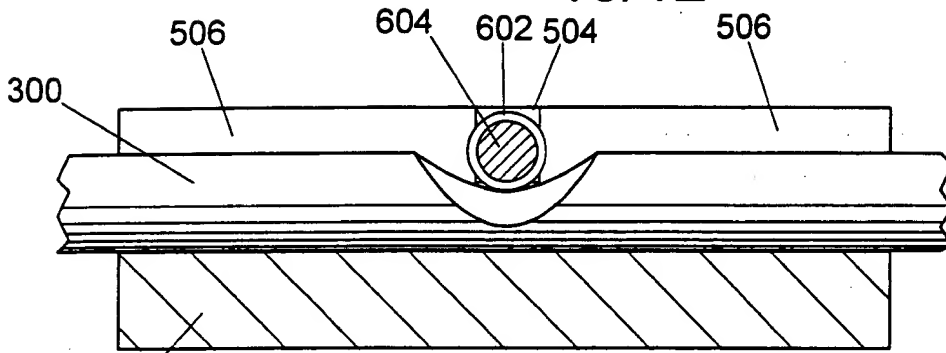


FIG. 13A

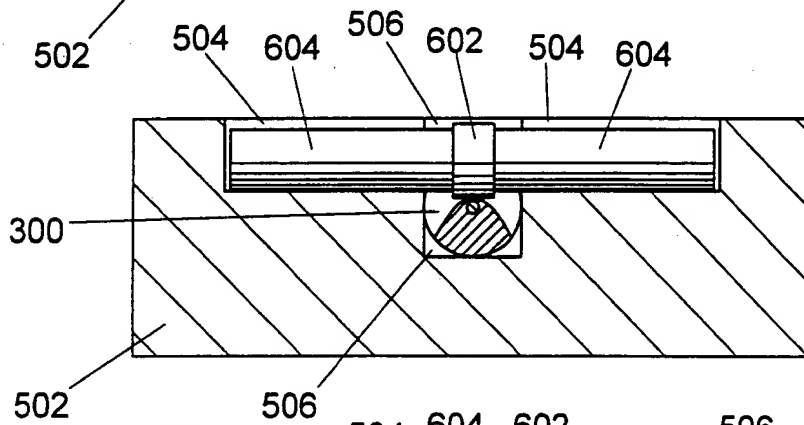


FIG. 13B

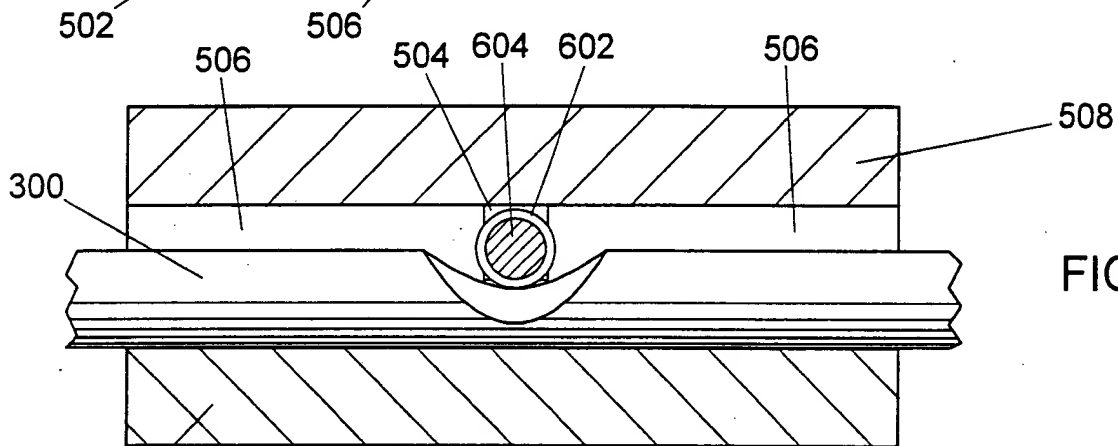


FIG. 14A

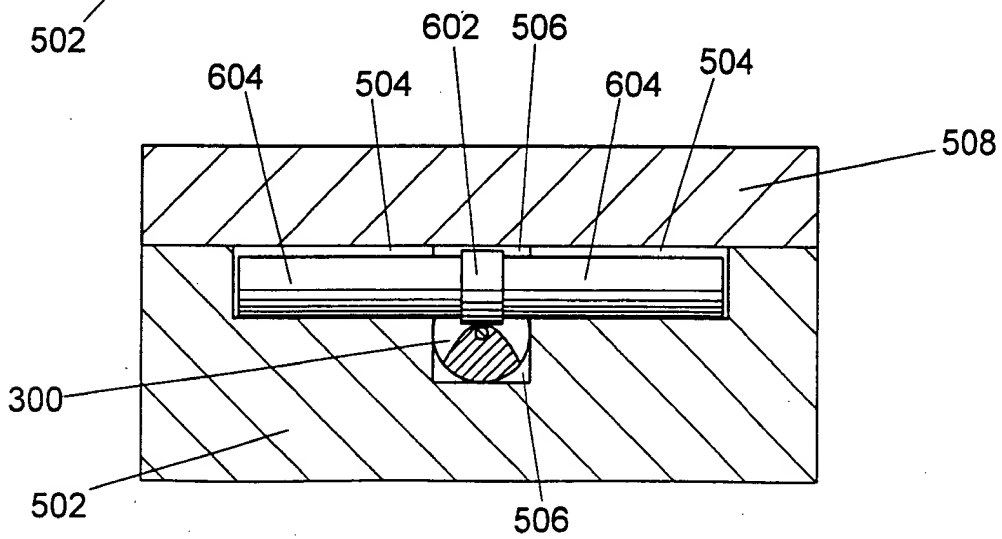


FIG. 14B

11/12

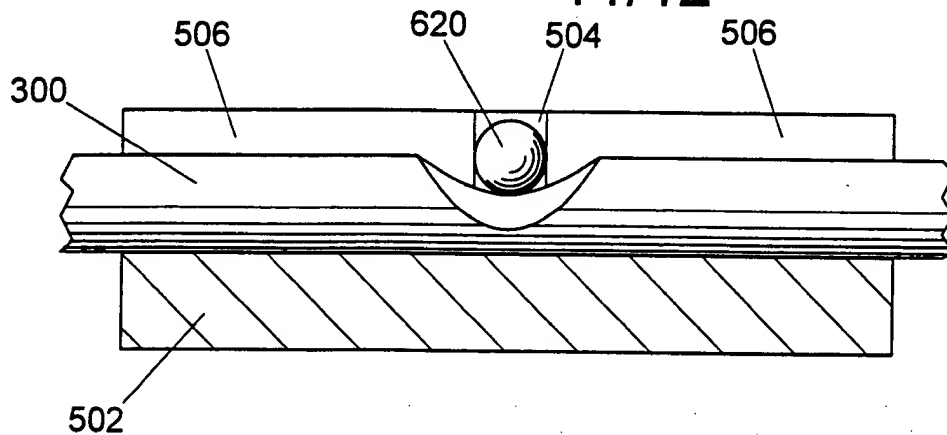


FIG. 16A

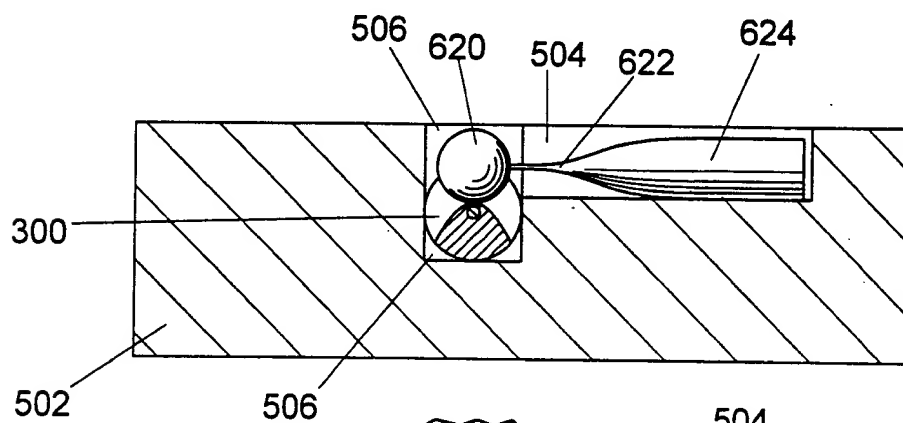


FIG. 16B

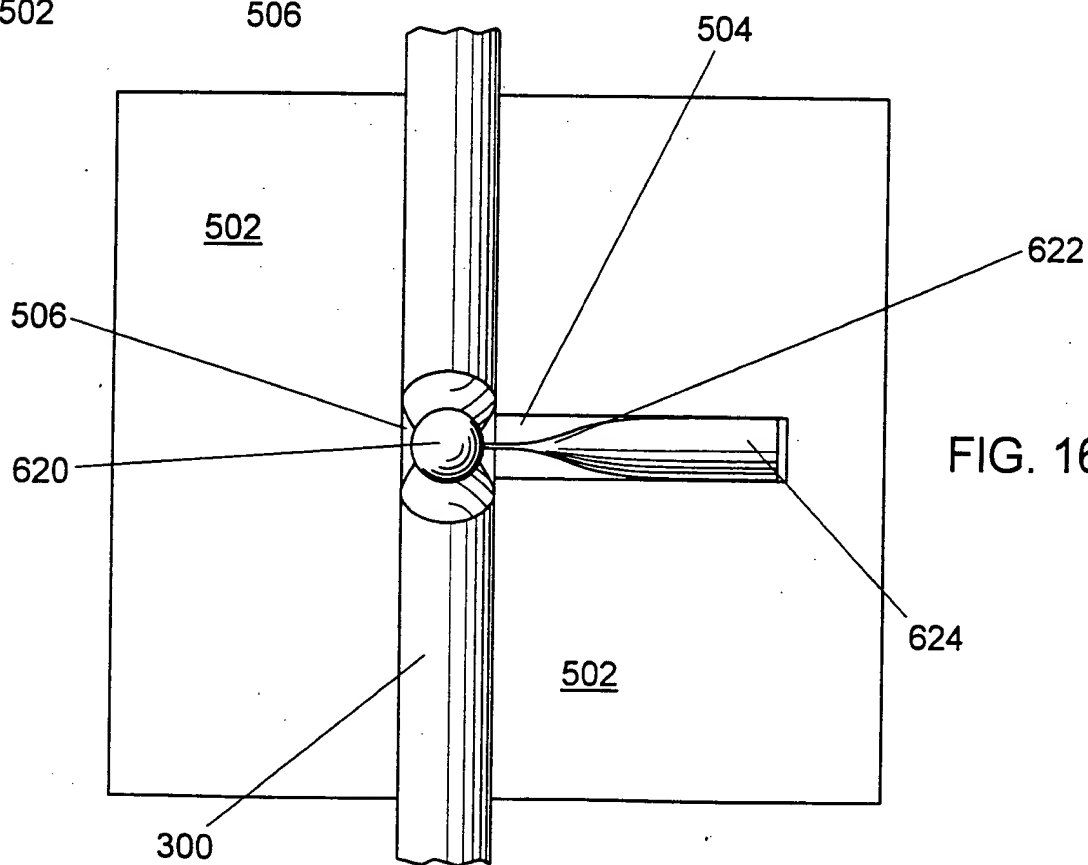
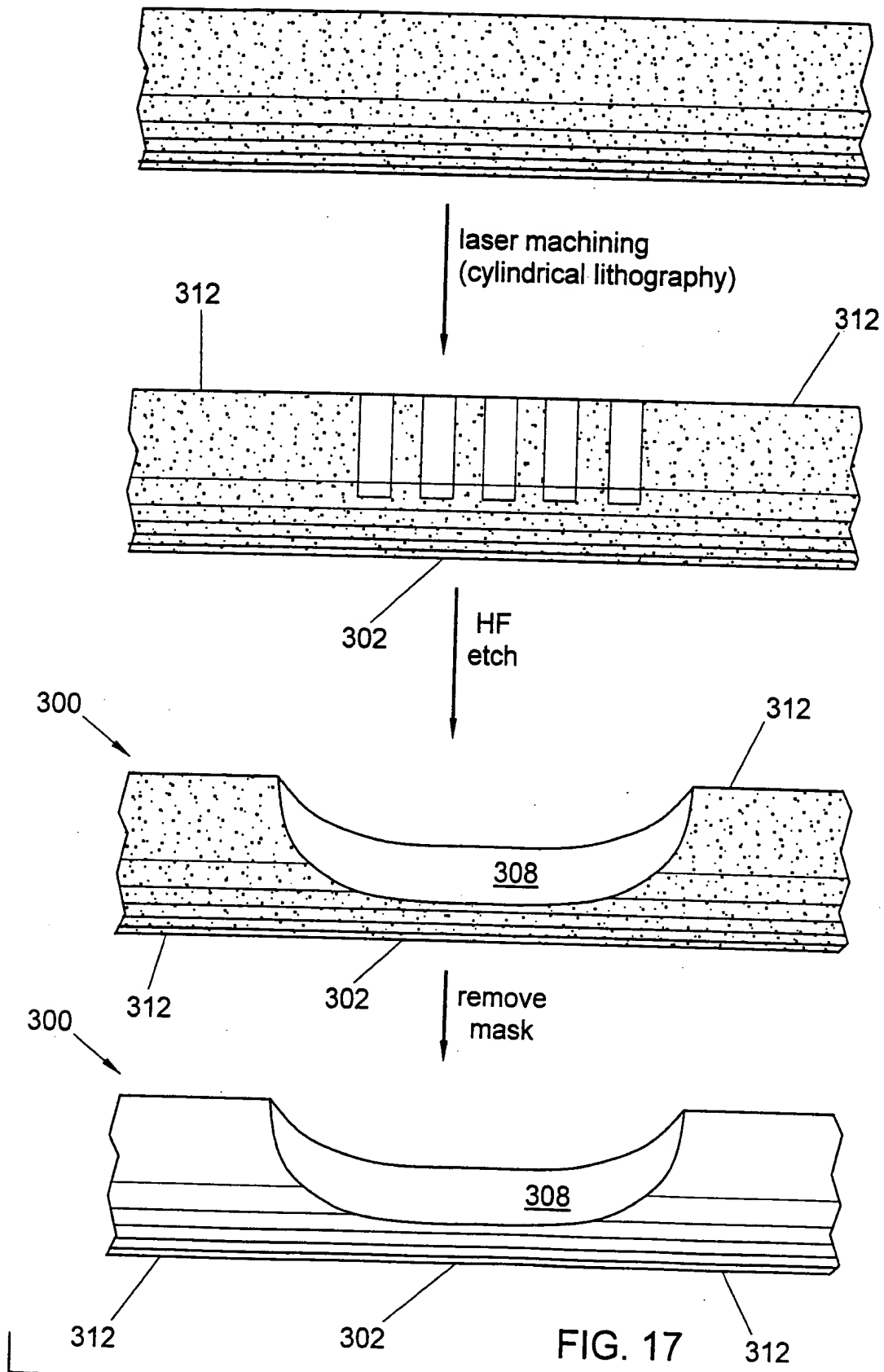


FIG. 16C



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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)

Applicant, Patentee, or Identifier: Peter C. Sercel, Guido Hunziker, and Robert B. Lee

Application or Patent No.: \_\_\_\_\_

Filed or Issued: \_\_\_\_\_ herewith

Title: FIBER-OPTIC WAVEGUIDE FOR EVANESCENT OPTICAL COUPLING AND METHODS OF FABRICATION AND USE THEREOF

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.  
☒ Each such person, concern, or organization is listed below.

Aleph Lightgate Corporation  
2275 Huntington Drive #348  
San Marino, CA 91108-2640

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Peter C. Sercel

Guido Hunziker

Robert B. Lee

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

  
Signature of inventor  
Signature of inventor  
Signature of inventor8/15/2000  
Date8/15/2000  
Date8/15/2000  
Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)

Applicant, Patentee, or Identifier: Peter C. Sercel and Guido Hunziker

Application or Patent No.: \_\_\_\_\_

Filed or Issued: herewithTitle: FIBER-OPTIC WAVEGUIDE FOR EVANESCENT OPTICAL COUPLING AND METHODS OF FABRICATION AND USE THEREOF

I hereby state that I am:

- ☐ the owner of the small business concern identified below.  
☒ an official of the small business concern empowered to act on behalf of the concern identified below.

NAME OF SMALL BUSINESS CONCERN Aleph Lightgate CorporationADDRESS OF SMALL BUSINESS CONCERN 2275 Huntington Drive #348, San Marino, CA 91108-2640

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below.

- ☒ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Peter C. SercelTITLE OF PERSON IF OTHER THAN OWNER PresidentADDRESS OF PERSON SIGNING Aleph Lightgate Corporation, 2275 Huntington Drive #348, San Marino, CA 91108-2640SIGNATURE DATE 8/15/2000